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ABSTRACT

Based on 3-year evaluation of Utah State Office of Education (USOE) programs funded and operated under Title IV of the Elementary and Secondary Education Act, this manual suggests steps and procedures for use by the USOE or other similar agencies responsible for soliciting and reviewing proposals for funding of educational programs. Steps include: (1) eliciting high-quality proposals by using clear Requests for Proposals and model proposals; (2) preparing for the proposal review by carefully selecting reviewers and structuring panels, setting professional standards, controlling bias, properly preparing the proposals, developing the review instruments (criteria and rating forms), and providing specific instructions and training for reviewers; (3) conducting the proposal review process smoothly and objectively by appointing a coordinator (the program officer of the funding agency and/or a hired consultant), by completing individual reviews before panel reviews, and by making clear, consistent recommendations; and (4) presenting the proposal review results to the funding agency, including a technical summary of each recommended application and a pre-funding cover memorandum (a general description of the review process and the final recommended dollar amount of the award). Appendices contain support materials to illustrate and facilitate these procedures. (BS)

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PROPOSAL REVIEW GUIDELINES AND INSTRUMENTS:

A MANUAL FOR EXTERNAL REVIEW PANELS

UTAH OFFICE OF EDUCATION
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TM 840 412

August 1982

PROPOSAL REVIEW GUIDELINES AND INSTRUMENTS:
A MANUAL FOR EXTERNAL REVIEW PANELS

THE UTAH STATE OFFICE OF EDUCATION

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1. INTRODUCTION

In February 1980, the Utah State Office of Education (USOE) contracted with the Wasatch Institute for Research and Evaluation (WIRE) to conduct a three-year evaluation of the USOE program(s) funded and operated under Title IV of the Elementary and Secondary Education Act. In an effort to assure that Title IV - C proposals submitted during 1980-81 would be of high quality and that decisions concerning which proposals would be funded would be based on accurate, fair, and objective reviews, the USOE asked WIRE to conduct the following activities: (1) preparation of the request for proposals (RFP) to which applicants for Title IV - C funding responded; (2) development of "model" proposals to provide guidance for local education agencies (LEAs) in proposal preparation; and (3) operation of the proposal review process conducted in 1980 and 1981.

Observations Concerning the Utah Title IV Proposal Review Process

Several observations about the Title IV proposal review process seem in order. These observations stem from analyses of ratings, comments of individual reviewers, observations of review team chairpersons, observations of USOE officials who observed the review process and used the resultant ratings and recommendations, and an analysis of proposals submitted.

1. Proposals submitted in 1980 and 1981 were generally of significantly higher quality than in the previous years, according to chairpersons and reviewers on teams who served during this period and in previous years. This observation was also borne out by an analysis in which proposals in these two years were compared with proposals in prior years. Apparently the RFP and model proposals requested by USOE were effective in improving overall proposal quality significantly.

2. Most LEAs followed the format requested in the RFP and outlined in the model proposals.
3. Ratings were generally higher on proposals which followed the format required in the RFP. As a result, the probability of funding was improved by adherence to USOE proposal requirements.
4. Some LEAs totally ignored the proposal specifications in the RFP. In general, such proposals tended to receive lower ratings. In a system such as that established by USOE, where reviewers are attempting to apply objective criteria to judge specific portions of a proposal, failure to include required information or sections in a proposal will generally be a disadvantage to the applicant LEA.
5. The results of the 1980 and 1981 proposal review process served as the basis for USOE decisions about Title IV - C projects to be funded during that period. Political considerations and individual influence (prevalent factors in far too many proposal review processes) were found to be commendably lacking in the USOE decisions concerning Title IV - C projects.
6. District size and location did not seem to influence team ratings or recommendations for action in any particular manner, although receipt of technical assistance does seem to be related to proposal quality as judged by team ratings. External technical assistance in preparing Title IV - C proposals was provided to six districts; it would seem that technical assistance is particularly important to small districts who wish to submit successful proposals.

Purpose of This Manual

What is true for the review of Title IV - C proposals is probably also true for review of proposals submitted to obtain funding for many other educational programs or projects, especially those operated under guidelines which are rigorous and/or technical in nature. In short, the better the proposals submitted by LEAs and the more fair and objective the review received by those proposals, the better the decisions about which programs to fund so that limited resources can have maximum impact on the improvement of education.

It is the purpose of this manual to present suggested steps and procedures for use by the USOE or any other similar agency charged with responsibility for soliciting and reviewing proposals for the funding of educational programs. Foundations, universities, federal agencies, and any other agency which invites and reviews competitive proposals could also use this manual, with only minor adaptations.

Although examples used in this manual are drawn from materials developed in relation to review of Title IV - C proposals, they should have broad applicability to review of virtually any type of educational proposal.

It should be noted at the outset that much of the material in this manual consists of simple procedures and suggestions that represent little more than "common sense". Yet, this distillation of individual and collective experience in education suggests that such common sense is too often lacking in many endeavors, with the result that inefficient and cumbersome systems are developed where simple and streamlined programs and procedures could have served as well. It is in the spirit of promoting simple and straight-forward approaches to proposal review that this manual is offered.

Organization of This Manual

This manual is organized around the following general topics, within which specific procedures and supporting materials are discussed:

- Strategies for Eliciting High-quality Proposals;
- Preparing for the Proposal Review Process;
- Conducting the Proposal Review Process; and,
- Presentation of Proposal Review Results.

2. STRATEGIES FOR ELICITING HIGH-QUALITY PROPOSALS

It is of little use to set up careful proposal review processes aimed at selecting for funding high-quality proposals if nothing has been done first to assure that there will be such high-quality proposals among those reviewed. Nothing is more frustrating (and futile) than to have to award earmarked funds to the "best" proposal(s) from a batch where none even rises to the level of mediocrity. It seems obvious, therefore, that the first concern of funding agencies should be to encourage and facilitate the submission of good proposals. There are three general strategies for eliciting high-quality proposals: (1) providing technical assistance to those who, without it, would be less likely to submit competitive proposals; (2) developing and distributing RFPs which set a high-quality standard for those who submit proposals in response to the RFP; and (3) developing and disseminating "model" proposals that can be used as guidelines by those who wish to prepare high-quality proposals.

Improvement of proposals through technical assistance is dealt with in detail in another manual in this series[1] and will not be discussed further here. The use of RFPs and model proposals are discussed briefly in the following sections.

The Request for Proposals

Proposals submitted under any funding authorization will usually be no better than the Request for Proposals (RFP) or other announcement which served to elicit proposals. Yet, far too frequently, the RFP will be so vague that it provides little direction or guidance to the proposer. Sometimes RFPs will be very specific on details to be included in the proposal but will fail to include important details, such as the activities' duration or deadlines, or the resources available to conduct the activities.[2]

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[1] Worthen, B. R., Technical Assistance to Local Education Agencies: A Manual for Technical Assistance Providers and Recipients. Wasatch Institute for Research and Evaluation: Logan, Utah. 1982.

It is beyond the scope of this manual to provide an extensive analysis of what should be included in an RFP; readers who wish to pursue that topic in greater depth are referred to an earlier paper which treats that subject comprehensively.[3]

An example of an RFP used to elicit a relatively large number of high-quality proposals in the 1981 Utah Title IV competition appears in Appendix 1 to this report along with a covering letter of transmittal. Obviously, there are a variety of equally acceptable ways to structure an RFP; the important thing is to make certain that it communicates clearly the expectations of the funding agency and sets expectations and standards sufficiently high so that proposals which meet those standards will be of an acceptably high quality. It should also be patently clear that it is of little use to expend energy developing a good RFP if that document is not sent to all qualified potential bidders.

Model Proposals

Proposal quality can often be enhanced by using model proposals. These may be actual proposals selected from previous submissions because of their quality, although violation of confidentiality may be a problem here. It is generally more desirable to use model proposals which have been developed specifically to serve as examples. Such model proposals should follow the same format as the proposals to be submitted and should demonstrate how each expectation in the RFP might be addressed. Such models might also be annotated, with accompanying instructional and explanatory comments added to help potential proposers see why each section of the proposal was handled as it was.

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[2] Often funding agencies feel it wise to omit from RFPs the dollars available, believing that every applicant will otherwise ask for the maximum amount and the agency may be cheated out of "bargain buys" they might otherwise obtain. It seems not to occur to the agency, however, that the alternative may be worse. The product of applicants playing guessing games as to how completely they should approach outlined tasks frequently results in decisions about funding that are based more on the applicant's ability to guess how extensively the funding agency wishes each task to be pursued than on the qualifications of the applicant or the excellence of the proposal.

[3] Worthen B. R., and Wright, W. J., Standards and Procedures for Development and Implementation of an Evaluation Contract. Alaska Dept. of Education. Oct. 1975.

An example of a model proposal used to help improve the quality of proposals in Utah's Title IV - Part C program appears in Appendix 2, along with an accompanying cover letter.

3. PREPARING FOR THE PROPOSAL REVIEW

The purpose of any external panel review of proposal applications is to obtain the best available professional judgments regarding each application submitted for funding. The individual and panel recommendations regarding the quality of each proposal and the statements of strengths and weaknesses are a critical base upon which final funding recommendations should rest. To assure an objective, unbiased review process in which proposals would be judged strictly on their merits, each of the activities described in the following sections should be planned and conducted in preparation for the actual proposal review

Selection of Reviewers

Potential reviewers should be carefully selected, using nominations from funding agency staff and from known experts in the field(s) relevant to the substance and methodology with which the proposals will be concerned. For example, in the Utah Title IV - C proposal review, individuals nominated to serve as reviewers were required to qualify in one or more of the following areas: (1) experience in the successful conduct of Title IV - C projects; (2) expertise in technical areas and operations required in all proposals; or (3) membership on the Utah Title IV State Advisory Council.

It is generally wise to select additional individuals to serve as alternates in the event that last minute problems may prevent selected reviewers from meeting their commitments to participate in the proposal review. It is also wise to make certain that all selected reviewers are contacted sufficiently far in advance to schedule adequate time for the review, as well as for prior training sessions.

Structuring Review Panels

Review panels are generally no better than the individual reviewers who serve on them. Yet, the selection of highly-qualified individuals to serve does not assure that their opinions can be meaningfully aggregated into sensible and equitable judgments about the quality of specific proposals. As with any team effort, the independent contributions of each team member must be merged effectively if success is to be achieved.

Where the number of proposals is relatively few and sufficient time can be allowed for each reviewer to read each proposal, there is no need to sub-divide the overall review panel into sub-panels or teams. Each individual can rate each proposal and those ratings can be aggregated in a variety of ways, ranging from mathematical averaging to group discussions where consensus is achieved. In the more typical situation, larger numbers of proposals and shortage of resources and time may require that the review panel be sub-divided into teams, with each team assigned responsibility for reading only a sub-set of the total proposals submitted.

In forming such teams, it is important to see that the total breadth of expertise and experience possessed by any given team is appropriate for the proposals assigned to that team. For example, Utah State University has a program for funding faculty research proposals. Review teams are typically formed so that proposals from the arts and humanities can be read by persons who possess expertise in those areas, proposals dealing with chemistry are assigned to review teams where at least some of the team members possess expertise in that field, and so forth. As another example, in the Utah Title IV proposal review process, sixteen reviewers were formed into four teams. Those four-person teams were balanced insofar as possible to assure that each team included: (a) persons with expertise in conducting Title IV - C projects, relevant technical experts, and members of the State Title IV Advisory Council; and (b) an appropriate mixture of university and public school personnel.

It is also important to assign each team a leader who has experience in the content of the proposal, as well as relevant technical expertise.

There are also important considerations to assure equity and credibility in the review process by avoiding selecting all team members from any one geographic area, avoiding use of all male or all female review panels (unless the content of the proposals required such team composition), and so on.

Assigning Proposals to Review Teams

Because of the varying nature of proposals in different funding competitions, there are no general guidelines for how to assign proposals to review teams. It is imperative, however, that careful thought be given to make certain that the assignment is conducted in such a way as to maximize the fairness of the review process. For example, if a particular competition is intended to result in the selection of one art project, one science project, and one physical education project, then it may be most equitable to have all the art proposals reviewed by one team, all the science proposals reviewed by a second team, and all physical education proposals reviewed by a third team. Similarly, if funding competitions allow proposals to be submitted dealing with different functions (e.g., research vs. dissemination), it would seem that all proposals in any one category should be rated by the same team. In some proposal submissions, it is appropriate to sort proposals along some salient dimensions of the applicant agency (public vs. private schools, or large urban school districts vs. small rural school districts).

To illustrate the above, in the Utah Title IV - C proposal review, all proposals in any one category (e.g., proposals for developmental projects in small rural districts) were rated by the same team so that districts would only have to compete against other districts of approximately the same size.

Professional Standards for Reviewers

Proposal reviewers are privy to a great deal of information about individuals and agencies which is of a confidential nature. All reviewers should be extremely careful to never discuss beyond the doors of the review meeting room, any proposal, comments, recommendations, or evaluations. Each proposal belongs to those who develop it and all reviewers must safeguard the rights of each applicant.

It is also important that conflict of interest be avoided in all proposal review processes. A conflict of interest exists when the approval or non-approval of any proposal could have any financial or other advantage to any reviewer beyond that which would obtain to other persons within the same field or discipline. For example, a conflict of interest would exist in any situation where a proposal was submitted by an agency with whom the reviewer had a continuing consultant relationship. Similarly, it would be a conflict of interest if a reviewer were asked to judge a proposal submitted by the reviewer's spouse or other family member, a profit or non-profit organization with which the reviewer is associated, or any person or organization with whom the panelist has a present or anticipated relationship involving employment or financial interest.

Ideally, reviewers should be selected so that there is no possible question of conflict of interest. In some instances, however, it is not possible to identify enough qualified reviewers where some conflict of interest could not be construed. For example, there might be relatively few individuals possessing requisite expertise in some technical areas, and those individuals may have some relationship to every activity being conducted in the field. In such cases, it may be permissible to use reviewers who have known relationships with applicant agencies, but special care must be taken to avoid conflict of interest from biasing the judgments.

For example, if any reviewer or team leader feels uncomfortable about a potential conflict of interest when a proposal from an institution with which a reviewer has been associated in the past is discussed, it is urged that reviewers absent themselves from the discussion (and most likely from the review room) during deliberations concerning that proposal. Professional sensitivity and good judgment will usually serve to eliminate or reduce conflict of interest situations so that they do not play a role in decisions concerning competing proposals. For example, in the Utah Title IV - C proposal review, it was impossible to select reviewers with prior successful Title IV - C experience who did not also have some affiliation with districts submitting proposals. To deal with this problem, all proposals were assigned to review teams so that no LEA staff member would be asked to judge a proposal from his or her own district or a district which was competing with his or her district for funds.

Controlling Bias

Every effort should be made in the selection of reviewers to identify those individuals who are capable of making fair, impartial judgments -- judgments which are free of the taint of personal bias. Yet, such paragons of virtue are difficult to find. Indeed, the reviewer who is unaffected by either conscious or sub-conscious biases ranks in mythology alongside of Pegasus' winged horse. Although it may be naive to speak of eliminating bias from the proposal review process, it is paramount that bias be controlled so that it does not enter into the decisions rendered to any significant degree.

Not all individuals who are biased are malicious; most often the intrusion of biases into judgments is unintentional. It is, therefore, useful to remind all reviewers of the importance of setting their personal biases aside during the proposal review process. Reviewers should be reminded that they must be scrupulously aware of their own inevitable philosphical and methodological biases if they are to ensure each application a fair and impartial review. They should be reminded that, if they do not attend to these biases, there is a risk that applications will be judged not on their objective marits but on their degree of conformity to the reviewer's own subjective positions. All reviewers should be urged to consider all proposals in an atmosphere free of preconception, one in which reviewers remain receptive to perspectives which differ from those which they themselves espouse.

One potential source of bias is prior knowledge about individuals and agencies submitting proposals. It is generally advisable, therefore, to conduct "blind reviews" in which identity of the individual and/or agency submitting the proposal is kept from the reviewers at least until after their ratings and recommendations are completed. For example, in the Utah Title IV - C proposal review process, all proposals submitted to the Utah State Office of Education (USOE) were given identification numbers, and references to specific school districts were removed to mask identity insofar as possible and thus avoid possible bias in the review process.

Preparation of Proposals for Review

In addition to deleting from proposals all items which would identify the applicant, thought should be given to how to prepare proposals to ease the task of reviewing. For example, adequate numbers of copies of each proposal should be made so that reviewers are not impeded in their work by having to wait to read proposals being shared with other reviewers. Ideally, each reviewer should be provided an individual copy of each proposal which he or she is asked to review.

Since resource constraints and size of proposals may occasionally make this approach impossible, care should be taken to make sufficient copies of each proposal so that the review can be conducted without undue delays. Such pedestrian planning is often viewed by funding agencies as being trivial, with the result that differential reading speeds of reviewers cause unnecessary delays in completing the review process. Careful planning at this stage is very important if the review is to go smoothly.

Development of Review Instruments and Materials

In addition to preparing multiple copies of the proposal itself, as addressed in the previous section, the actual review instruments, including review forms, rating scales, criteria, etc., must be developed. This is undoubtedly the most critical and difficult task in preparing for a proposal review. Several considerations in developing review instruments and materials are discussed briefly in the following sections.

Development of criteria. It is important that the review and evaluation of each proposal in any funding competition be conducted in strict accordance with evaluation criteria which have been developed and publicized to potential applicants. Often legal and regulatory requirements mandate that evaluations be strictly based on published selection criteria only. Even in the absence of such legal requirements, however, fair and equitable reviews require that: (1) applicants are informed in advance of criteria which will be used to judge their proposals, and; (2) that review be conducted in accordance with those established standards. Allowing additional considerations to intrude at the point of review and evaluation would be grossly unfair.

The actual criteria to be employed will vary with the nature of the activities called for in the request for proposals: therefore, it would be pointless to try to prescribe specific criteria or even categories of criteria in this manual. The following are offered merely as examples of categories of criteria that might be included:

- IMPORTANCE (the potential importance of the project to particular target groups);
- IMPACT (the probable impact of proposed activities);
- SOUNDNESS (technical soundness of the proposal and adequacy of procedures);
- QUALIFICATIONS OF KEY PERSONNEL (the extent to which proposed key personnel are qualified for the tasks proposed); and,
- COST EFFECTIVENESS (the extent to which costs are consistent with the activities proposed and the potential value of outcomes).

Samples of criteria used in two proposal reviews are provided in subsequent sections of this manual.

The development of the review form. It is necessary to develop a review form to assist each reviewer in providing a detailed review of each proposal and to serve as a device by which the reviewer's judgment can be best communicated. Review forms should include the following:

1. a cover page which contains: (a) identifying information (e. g., applicant institution, proposal number; (b) a listing of the criteria and possible points; (c) a space for final ratings on each criterion to be recorded; (d) designated space for the overall recommendation and the rationale for that recommendation; and (e) a place for the signature of the reviewer and others as appropriate;
2. worksheets which contain: (a) specific criteria, along with an explanation of the range of possible points to be assigned on each criterion; (b) an explication of how each criterion is to be interpreted; (c) space to list strengths and weaknesses of the proposal in relation to each criterion; and (d) a space for a final point rating on each criterion; and,
3. instructions for use in filling out the review form.

Two sample review forms which are built to the above specifications appear in Appendices 3 and 4. The review form shown in Appendix 3 is that used in the Utah Title IV - C process, while that shown in Appendix 4 was published in the U. S. Department of Education's Special Education Program's 1983 Grant Announcements for Research in Education of the Handicapped.

Dealing with scaling problems.[4] Reviewers have expressed more concern about the assignment of numerical ratings than any other aspect of the review process. In one sense, this is the most criterial determination in the evaluation. There is some evidence to suggest that the overall recommendation (e. g., approved, conditionally approved, disapproved) is the most reliable judgment, and that the narrative documentation is the most generally useful information provided by reviewers. Nevertheless, at the critical decision point where funding agencies are forced to distinguish between the last application to be funded vs. the first not funded, the decision is likely to hinge on the numerical rating. Thus, it is vital to give careful consideration to these numerical ratings.

The major problem with ratings is appropriate anchor points. One reviewer may assume that all applications are basically good, start at the positive extreme of the scale, and subtract points for specific weaknesses. Another may assume that the applicant must prove everything, start at the negative end of the scale and give points for strengths in the proposal. While either system will array proposals in essentially identical order, the absolute numerical values obtained may be quite different. Such differences may present difficulties when ratings must be aggragated across many panels and reviewers, any one of which judges only a small portion of the total pool of applications.

Establishing clear anchor points for the ratings scales is sometimes complicated by the fact that some federal regulations prohibit setting arbitrary cut-off scores for acceptability.

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[4] Some material in this section depends heavily on a set of "Reviewer Instructions" in the U. S. Department of Education Special Education Program's 1983 Grant Announcements for Research in Education of the Handicapped.

One acceptable procedure for dealing with this problem is to assume that a proposal that is "just adequate" on a given criterion should fall at the mid-point of the rating scale for that criterion. From this anchor point, ratings can be increased or decreased on the basis of strengths and weaknesses of the proposal. Adherence to this general approach to ratings will help to assure that numerical scores are consistent with recommendations and narrative and are relatively reliable across reviewers.

One difficulty with the above approach is that it does seem to produce somewhat leptokurtic distributions of scores. The problem is compounded by an apparent reluctance of many reviewers to assign extreme scores. The ideal reviewer does not hesitate to assign a maximum score or a zero if such score can be reasonably justified.

It is important that the unit of analysis is the overall criterion. Ratings should reflect judgment on each criterion, not on any arbitrary division of points among the various factors suggested for consideration under each criterion.

It is also important to be certain that readers are provided not only the overall range of points, but also a conversion scale to assist them in translating judgments into the number of points to be assigned. For example, the conversion table shown on the first page in Appendix 3 helped reviewers increase their consistency to the point that inter-rater and inter-team reliabilities were extremely high in applying this particular instrument. A sample of another excellent method for dealing with conversion of judgments to points appears in Appendix 5.

Developing instructions to reviewers. In addition to providing reviewers with specific instructions for how to use the rating form, it is important to provide them with step-by-step instructions for carrying out the entire review process. In addition, it is also helpful to provide them with lists of overall reminders about things that they should keep in mind as they approach their review task. Examples of such step-by-step instructions and general reminders, drawn from the 1981 Utah Title IV - C proposal review process, appear in Appendix 6.

Training reviewers. Once qualified reviewers have been selected and good rating scales and instructions have been developed, the final step prior to conducting the review is to train the reviewers to use the review forms and supporting materials. If there were one cardinal principle to be followed in training reviewers, it is that the review form does not speak for itself! Far too frequently, proposal review chairpersons or coordinators select competent reviewers, develop excellent review forms and materials, and then hand them to reviewers who apply them so differently as to defy combining their ratings into any meaningful decision. It should not be insulting to any competent reviewer to receive specific training in the use of a particular review form.

It is generally wise to send advance information to reviewers to enable them to read in depth documents which describe the basic purpose of the funding authorization, as well as copies of the RFP and any model proposals which may have been sent to potential applicants. Sending such advance information to reviewers can also serve as a reminder of the upcoming event for those few persons who may otherwise forget or "double schedule" their time. Samples of materials that might be sent to reviewers in advance are suggested by materials shown in Appendix 7.

To assist reviewers in attaining maximum consistency in rating proposals, it is often wise to have all reviewers rate one or more sample proposals during the training session, applying all criteria as would be the case in a real review. Any differences in application of criteria, scoring, or recommendations concerning the proposal should be discussed until those differences can be resolved.

It is also often wise to withhold from reviewers information about the total dollar amounts available to be awarded, at least until after they have conducted an initial review of each proposal and reached a summary rating. Otherwise, their judgments may be unduly influenced by the fiscal issue. Admittedly, there are some cases, for other reasons, where it is important for them to be informed of the available resources; however, whether or not information about the overall dollars available is shared in advance with the reviewers is a decision that should be carefully considered.

An example of reviewer training. To provide a brief example of how the above considerations can be integrated in an effort to provide good training to reviewers, the following example is drawn from the 1981 Utah Title IV - C proposal review process.

The following list of materials provided the core materials for training of proposal reviewers:

- A detailed step-by-step summary of the review and rating process to be followed by each team member;
- A summary sheet of important things to keep in mind when reviewing Title IV - C proposals;
- General instructions to help standardize reviewers' ratings ;
- A revised rating sheet for adoptable projects for use by individual;
- A revised rating sheet for continuing developmental projects for use by individual team members;
- A summary sheet for composite team ratings and recommendations for each adoptable project; and,
- A summary sheet for composite team ratings and recommendations for each continuing development project.

All reviewers received and read, prior to the review, copies of the RFP and model proposal sent to all districts. In addition, they received explicit and intensive training on the purposes of Title IV, the criteria and procedures to be used in judging the proposals, and the rating sheets and instructions designed to standardize the ratings and eliminate scaling problems. Federal regulations and state compliance requirements were also reviewed by all team members. Lists and descriptions of Federal and State validated projects were provided to teams scheduled to review adoptable projects. Finally, examples of ratings from the 1980 Title IV - C review were used to identify effective and ineffective techniques for using and summarizing the ratings sheets. Training was conducted in three phases: (a) reading RFP materials and model proposals by all team members prior to the proposal review; (b) training of team leaders in the rating and summarizing procedures on the evening before the proposal review; and (c) training of all team members during the first morning of the two-day proposal review.

This training, in conjunction with the review forms and other instructions provided reviewers, resulted in an extremely high degree of consistency in team ratings, as will be described in subsequent sections of this manual.

4. CONDUCTING THE PROPOSAL REVIEW PROCESS

The importance of all prior preparation notwithstanding, no amount of careful groundwork will be profitable if the actual review process is conducted in a haphazard fashion. Procedures and considerations important to assure a smooth, effective, and objective review process are discussed briefly in the following sections.

Coordination and Support

The proposal review process should be directed and coordinated by someone who possesses the following characteristics:

- substantive and/or methodological knowledge relevant to the work called for in the proposals;
- experience in writing and evaluating proposals;

- experience in managing prior review panels or similar efforts; and
- credibility and respect of other professionals who will serve as reviewers.

The review coordinator may be either an officer or staff member from the funding agency (referred to hereafter as the program officer) or a consultant hired by the funding agency to direct this particular review. In many instances, it is wise to have both persons present, the consultant to coordinate the review effort and the program officer to answer specific questions that may arise about the funding authorization and to oversee the process to assure the funding agency that the review was conducted appropriately.

In cases where the program officer coordinates the proposal review, s/he normally should not sit as a reviewer, share the results of his/her analysis of the proposal, vote on scoring or rating the proposal, or make statements that the reviewers could construe as a preference for either approval or disapproval. The program officer should answer requests for information about program regulations and assure that only the published criteria are used in individual and panel reviews.

In cases where a consultant serves as coordinator of the review process, s/he can also serve as a reviewer. There may be some merit, however, in having the coordinator free to roam from team to team during the review process to watch for difficulties that might arise and can be rectified by early intervention and, if necessary, retraining.

It is also often important to have clerical support available during proposal reviews. This is obviously necessary if there is an expectation that the review process will end with finished products in the hands of the program officer. Even if that is not the case, it is often helpful for reviewers to have photocopies of one anothers' hand-written summaries and rating sheets as they discuss particular proposals and attempt to reach consensus on their ratings and recommendations.

Individual Rating of Proposals[5]

External reviews of proposals are typically composed of two parts: individual reviews and panel reviews. All individual reviews should be completed prior to aggregating into total panel reviews. Each individual review should result in the following:

- a specific recommendation as to whether a project merits support or not (approval/conditional approval/disapproval);
- ratings of each proposal which accurately reflect the reviewer's judgment regarding the merits of each proposal reviewed; and
- detailed documentation of specific strengths and weaknesses of each application which substantiates the rating.

In completing the review process, the individual reviewer should complete a cover page for each proposal in which the overall recommendation and overall rating on each major criterion are given. In support of this summary information, reviewers should provide their answer to each review question or criterion by entering an appropriate numerical score within the range given and providing narrative comments regarding the strengths and weaknesses of each criterion in support of their rating. These responses are important in providing feedback to applicants as well as to funding agency personnel. Whenever possible, comments should be supported with specific examples from the proposal, including page numbers, if appropriate.

Ratings should be consistent with written comments; e. g., disapproval and approval recommendations should be consistent with ratings. If there is a discrepancy between the reviewer's rating and recommendation, an explanation for that discrepancy should be provided.

Evaluative comments are important components in the review process. Such comments provide valuable input into the decision-making process, and also provide helpful feedback to the applicants, both those who are funded and those who are unsuccessful. Since, as provided by the Freedom of Information Act, the applicant may request reviewers' comments (reviewers' names are deleted), full and fair justification of reviewers' judgments is of utmost importance.

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[5] Portions of this section are drawn from "Reviewer Instructions" in the U. S. Department of Education Special Education Program's 1983 Grant Announcements for Research in Education of the Handicapped.

There are some characteristics that differentiate between high-quality and low-quality individual reviews. High-quality reviews and summary statements typically possess the following characteristics:

- justification in complete sentences;
- objectivity of judgment;
- specific reconciliation when an overall judgment is based on a mixture of strengths and weaknesses;
- specification of exactly what elements of a given criterion were considered;
- differentiation of comments based on fact from those based on professional judgment; and
- consideration of all criteria.

Low-quality reviews and summaries are characterized by the following:

- too little documentation (i. e., "yes", and "no", or "good");
- comments which cannot be clearly related to the criteria;
- comments which are inconsistent with the ratings or recommendations;
- comments which are inaccurate;
- comments which are facetious or derogatory, biased, or otherwise inappropriate or unprofessional; and
- judgments which are outside the scope or responsibility of the review (for example, "the indirect cost rate is too high").

In the Utah Title IV - C proposal review process, each proposal was read and rated independently by each member of a four-person team assigned to rate proposals within that particular category. Each reviewer filled out each review form with both a numerical rating and written comments about the proposal's strengths and weaknesses on each criterion. Proposals that clearly failed to meet minimal federal guidelines for a Title IV - C proposal were identified by individual reviewers and did not receive completed ratings.

These individual ratings of proposals served as a basis for the subsequent panel ratings.

Panel Ratings of Proposals

After all proposals have been read and judged by individual reviewers, the next step is to bring the individual reviewers together as teams or as a total panel to discuss their individual perceptions. The decision of whether to convene teams or the total panel depends upon how proposals were distributed to readers. If all members of the panel read the same proposals, then the entire panel would convene to discuss those proposals. If, however, members of a sub-panel team were the only ones to read specific proposals, then only those team members would meet to discuss those specific proposals. In the remainder of this section, the process will be described as it would occur within proposal review teams. The same principles would, however, apply if total panel discussions were under consideration.

The purpose of the team discussions is to provide for consideration of each proposal by the individual reviewers, each of whom has appropriate experience but who may bring different areas of knowledge and experience to bear on the discussion.

Team members should discuss each proposal in turn at whatever length is necessary. The team leader should give a brief summary of the objectives of the proposal and all of the reviewers should have an opportunity to share their evaluations of that proposal, comparing their ratings and individual lists of strengths and weaknesses. If serious disagreements exist, an attempt should normally be made to reach a consensus on ratings for each category. In those cases, it is not necessary for team members to change their written individual ratings or comments during or as a result of the group discussion, unless those individual comments are to be submitted separately to the funding agency. In those cases, if a reviewer does change his or her view of a proposal as a result of the discussion, it would be appropriate to add the changed ratings and list the major reason(s), then date and sign the amendment to the original rating as well.

In any instance where team members cannot reach complete agreement on a rating, the individual reviewer ratings might be averaged to produce a team rating on that criterion.

After team ratings of each proposal are completed, it is generally desirable for the team chairperson to assign a team member to each proposal to summarize the team's comments and ratings on one rating form. These summaries should be shared with other team members to assure that they accurately reflect all team members' sentiments. Team suggestions concerning required technical assistance or proposed modifications should be clearly spelled out in this document.

Team chairpersons should fill out a summary rating form which contains: (a) the team's rating on each criterion and for the proposal as a whole; (b) the team's recommendation concerning whether to approve, conditionally approve, or disapprove the proposal; and (c) comments which summarize the team's rationale for its rating and recommendations. This summary will depend heavily on the summary described in the preceding paragraph.

Recommendations. The overall team recommendation concerning the final disposition of the proposal is of such importance as to deserve some additional comment. Over the years, reviewers have offered recommendations ranging from "This proposal should be enshrined" to "This proposal should be entombed". In most cases, however, it is best to limit the team to three choices: approval, conditional approval, or disapproval. Distinctions among these three categories can generally be made with a high degree of reliability. Those specific recommendations are defined by the U. S. Department of Education's Special Education Program's 1983 Grant Announcements as follows:

a) Approval - The application is worthy of support essentially as submitted. Minor modifications may still be suggested in your narrative justification, but this recommendation (approval) assumes that the project merits support even if such suggestions are rejected by the applicant.

b) Conditional Approval - This recommendation is not necessarily inferior to a recommendation of "Approval". Conditions (required modifications) must be very precisely noted, and it should be assumed that the application will have equal promise as a straight "Approval" if the conditions are accepted by the applicant even though the original application requires modification.

c) Disapproval - This recommendation should be used when the application is not viewed as acceptable as submitted, nor is it susceptible to a judgment of approval except with substantial modifications.

When the team has completed its ratings, all summary rating forms and, where appropriate, individual reviewer ratings and more detailed lists of strengths and weaknesses should be given to funding agency officials to aid in their deliberations. Samples of completed summary rating forms from the 1981 Utah Title IV - C Proposal Review are shown in Appendix 8. These samples show the general level at which team leaders summarized and reported team ratings and recommendations. District and project names and other identifying information (including the name of the chairperson) have been deleted from these samples to preserve anonymity. Otherwise, the samples are preserved in their entirety.

It is also helpful to funding agency officials to have some estimate of how consistently the individual reviewers and team apply the criteria in ratings and making recommendations about the proposals. For example, efforts were made in the Utah Title IV - C Proposal Review to assess the extent to which all teams were applying the criteria and awarding points in a comparable manner. Each of three proposals were read and rated independently by two different teams and the summary ratings compared. In no instance did the results vary by more than four points (on a scale of 100 possible) demonstrating that a high degree of consistency existed in teams' ratings, using the procedures outlined previously in this section.

5. PRESENTATION OF PROPOSAL REVIEW RESULTS

It is generally useful to provide funding agency officers with more than the individual proposal summary rating sheets described in the previous section. It is generally also helpful to provide a summary of ratings and recommendations across all proposals such as the example shown in Table 1.

In some funding agencies, political considerations exert an undue influence, often resulting in final decisions about proposal approval being made more on the basis of politics than review panel ratings. If the funding agency is aware of this problem and wishes to correct it, it can be largely handled by using a "double blind" review process in which the decision makers and the funding agency are left unaware of the identity of the proposing agency or individual until after decisions and funding recommendations have been made. For example, proposal numbers such as those shown in Table 1 could be assigned by a trusted staff member who keeps proposal identity confidential until such time as final decisions are made. In this case, funding agency officers would receive only information comparable to that shown in Table 1 and in Appendix 8 in which the identity of the proposer is omitted.

Subsequent to the completion of the panel review, funding agency officers will typically prepare a technical summary for each of the applications recommended for funding, including a pre-funding cover memorandum to present to the official responsible for approval. Such a pre-funding cover memorandum will generally include a description of the review process, the ranking, the summary review form with written justification for ratings, a discussion of the issues regarding the review and the funding competition, and a final recommendation, including the dollar amount of the award. This document will generally serve as the final document for approval of each grant or contract.

Table 1

1981 Title IV Ratings/Ranking

Proposal Number	Team Rating	**Recommended Action
125-2	94	C
102-2	89	A
*D-208-2	87	A
105-2	85	A
*D-207-2	85	A
128-2	83	A
129-2	81	C
104-2	79	C
127-2	78	C
300-2	76	C
*D-205-2	73	C
*D-204-2	70	C
*D-201-2	69	D
126-2	60	C
111-2	59	C
121-2	58	D
122-2	46	D
100-2	43	D
124-2	20	D
103-2	19	D
120-2	12	D
119-2	NR	D
101-2	93	A
*D-302-2	87	A
108-2	86	A
*D-206-2	85	A
*D-203-2	85	A
*D-209-2	81	C
117-2	79	C
110-2	78	C
111-2	76	C
113-2	73	C
*D-202-2	71	C
*D-200-2	70	C
107-2	60	C
111-2	59	C
116-2	59	C
109-2	56	D
115-2	46	D
112-2	32	D
303-2	19	D
301-2	18	D
123-2	NR	D
106-2	NR	D

*D = Development Grant
**Key to Recommended Action: A = Approve
C = Conditional Approval
D = Disapprove

NOTE: Developmental grants were rated and ranked separately from the remaining grants.

It is also appropriate, following each proposal review, to communicate appreciation to reviewers who are often interested in the outcomes of the review. Samples of such letters to reviewers and team leaders are contained in Appendix 9.

APPENDIX 1

Request for Title IV - Part C Proposals
For FY 1982

250 EAST 500 SOUTH STREET • SALT LAKE CITY, UTAH 84111 • TELEPHONE (801) 533-543

UTAH STATE OFFICE
OF EDUCATION

WALTER D. TALBOT
STATE SUPERINTENDENT OF PUBLIC INSTRUCTION

MEMORANDUM

TO: All Local District Superintendents

FROM: Dr. Kent L. Worthington, Administrator
Division of Program Administration

DATE: February 2, 1981

SUBJECT: Request for Title IV - Part C Proposals for FY 82
(1981-1982 school year)

Enclosed are materials compiled by our Dissemination and Educational Development Staff which may be used to prepare applications for funding under Title IV - Part C: Improvement in Local Education Practice. Since guidelines for this project have been modified during the past year, interested district personnel should read all of the enclosed materials and follow the instructions very carefully. We also request that you distribute this information to others in your LEA who may have responsibility or interest in applying for Title IV - Part C funds.

Two primary sources of assistance are available to those Districts which complete an application. Attached are two "model" proposals for a hypothetical project. In addition to serving as an example, the model proposals include additional explanation and written instruction about the required format and content of proposals submitted by LEAs for Title IV - Part C funding. Secondly, the Utah State Office of Education (USOE) is prepared to assist those LEAs which have identified a serious educational need within their system, and want to apply for Title IV - Part C funds, but feel they lack sufficient in-house expertise to write a competitive proposal. LEA personnel who feel they may require assistance from USOE in completing their application should tear out, sign and return page one of the attached memorandum before 5:00 p.m., March 2, 1981 (or preferrably much earlier to assure the LEA a choice in personnel who will provide such technical assistance).

Persons who have any other questions, should contact Mr. Bill Cowan as soon as possible.

of Program Administration
phone (801) 533-5061

Adult Education and Community Services
Dissemination and Educational Development
Telephone (801) 533-5061
Compensatory and Bilingual Education
(801) 533-6090
Special Education (801) 533-5982

Persons who have any other questions, should contact Mr. Bill Cowan as soon as possible.

One item should be stressed. It is of the utmost importance that the guidelines contained in the attached request for proposals be followed. Proposals will be rated on explicit criteria which make it most unlikely that a proposal will be highly rated (and therefore funded) if the guidelines are ignored. Copies of the rating sheets which will be used by proposal reviewers are attached for both "adoptable" and "continuing developmental" project proposals.

REQUEST FOR ASSISTANCE IN PREPARING

TITLE IV - PART C PROPOSALS

(Mail to Mr. Bill Cowan, Utah State
Office of Education, 250 E. 5th South
Salt Lake City, Utah 84111)

DISTRICT: ______________________________

GENERAL AREA OF PROPOSED PROJECT: ______________________________

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GENERAL NATURE OF ASSISTANCE NEEDED (e.g., designing an evaluation; helping focus the project objectives; writing the whole proposal): ______________________________

____

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____

District Official Authorizing the Request for Assistance:

____
Signature

____
Date

____
Title

ESEA TITLE IV - PART C

Instructions for Completing Grant Application

Purpose

Under authority of P.L. 95-561 as amended, notice is hereby given of the opportunity to submit competitive proposals for the purpose of improving the quality of elementary and secondary educational practices.

Description of Title IV - Part C: Improvement in Local Education Practice

A total of approximately $500,000 will be available during FY 82 (July 1, 1981 - June 30, 1982) to fund Title IV - Part C projects in Utah LEAs. These monies will be awarded on a competitive basis to LEAs who have identified a significant need in their current educational system and propose to continue the development of new programs or adopt existing validated programs from elsewhere to respond to these areas of need. (Please note that no new developmental projects will be funded.) Interested LEAs submit proposals in competition with other LEAs of similar size and resources. Projects funded by Part C fall into two areas: adoptable projects and developmental projects.

1. Developmental projects are funded when the LEA has identified a serious educational need within their system but is unable to locate other validated projects which are appropriate for meeting this need. Proposals by LEAs to conduct a developmental project must demonstrate that the LEA has adequate resources and expertise to develop a program, and evaluate the effectiveness of the program being developed over the three-year period. Funds for developmental projects are provided with the expectation that LEAs will continue, with their own resources, those programs which prove to be effective during the developmental period.

   Developmental projects can be funded up to five years but are typically funded for three years of developmental activities with a fourth and possibly fifth year of dissemination activities if the project proves effective. New developmental projects are only funded every three years. The most recent three-year cycle began in July of 1979. Consequently, no new developmental projects will be funded. However, all LEAs who managed first-year developmental grants during 1980-81 will be required to submit a continuing developmental proposal if they wish to continue the project.

2. Adoptable projects are funded when a LEA identifies a critical educational need in their system and is also able to identify an existing validated program which has a high probability of meeting this need. Information about the availability of such validated programs is disseminated by the U.S. Office of Education and the

Utah State Office of Education through various conferences, booklets, newsletters, and individual contacts. Those programs available for adoption have already demonstrated their effectiveness according to rigorous criteria set up by either the state or the federal government; and, staff from programs eligible for the adoption have demonstrated a willingness to assist other LEAs in adopting their program.

Adoptable projects are funded, on a competitive basis, every year and are typically funded for a one-year period, although adoptables may receive two years of funding if sufficient need is demonstrated. Funding of an adoptable project is based on the premises that: (1) the LEA posesses the expertise necessary to implement and test the effectiveness of such a program; (2) funds will be used only to test the effectiveness within the LEA of a project which has been validated elsewhere; and, (3) the LEA is committed to continue the program (if it proves effective) when Title IV funding is completed.

Introduction

Grants to LEAs under Title IV - Part C are based on competitive proposals submitted or post-marked by or before 5:00 p.m. March 27, 1981. An LEA may submit any number of proposals. However, if multiple applications are submitted for adoptable projects the LEA is required to indicate the rank order of their preference for the applications. Two types of projects are eligible for assistance during FY 82 adoptable and continuing developmental.

Each project will compete for available funds with other project proposals from LEAs of similar size and resources as follows:

Category A

Alpine
Davis
Granite
Jordan
Nebo
Ogden
Salt Lake
Weber

Category B

Box Elder
Cache
Carbon
Duchesne
Iron
Logan
Murray
Provo
San Juan
Sevier
Tooele
Uintah
Washington

Category C

Emery
Grand
Millard
Morgan
North Sanpete
South Sanpete
Wasatch

Category D

Beaver
Daggett
Garfield
Juab
Kane
North Summit
Park City
Piute
Rich
South Summit
Tintic
Wayne

Since Part C grants are based on competitive proposals, the applications must contain more detailed information than for parts B and D. The information and instructions that follow are provided to give each LEA a fair chance in preparing proposals.

Funds Available

The approximate amount of money available for adoptable projects from districts is as follows:

Category A	Category B	Category C	Category D
$ 152,000.00	$ 78,700.00	$ 28,800.00	$ 40,500.00

Funding Cycle

Requests for proposals are mailed to each LEA by February 2nd. If LEAs wish assistance in preparing applications, written requests for assistance must be received by Mr. Bill Cowan, Utah State Office of Education, before 5:00 p.m. on or before March 2, 1981. Assistance to LEAs desiring help in preparing applications for financial assistance is provided between March 3rd and March 26th. Applications for grant awards must be postmarked or received on or before 5:00 p.m. on March 27, 1981. Grant awards will be announced on or before May 15. Grant awards ordinarily become effective on July 1. The duration of the grant is for 12 months, ending on June 30, unless a request for an extension is made at least 60 days in advance. The maximum allowable extension is 90 days.

Proposal Review Procedures and Evaluation Criteria

Each proposal received before the specified deadline will be reviewed and evaluated by a panel of four people selected by the Title IV State Advisory Council and the Utah State Office of Education. Reviewers will be selected from among public school and higher education personnel who have demonstrated expertise and are familiar with the objectives and goals of Title IV - Part C. As noted previously each LEA will compete for available funds only with other LEAs of similar size and resources. Panel members will review each application according to the criteria specified below and will make funding recommendations to the Title IV State Advisory Council.

Criteria for Continuing Developmental Projects

	Area[1]	Possible Points
1.	Past Performance	30
2.	Statement of Need	10
3.	Quality of Objectives	10
4.	Statement of Work	20
5.	Qualifications of Personnel	20
6.	Cost Effectiveness (Budget)	10
		100

Criteria for Adoptable Projects

	Area	Possible Points
1.	Statement of Need	35
2.	Quality of Objectives	10
3.	Statement of Work	25
4.	Qualifications of Personnel	20
5.	Cost Effectiveness (Budget)	10
		100

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[1] Further elaboration on the elements which will be considered by reviewers in each section is included in the Program Narrative Section.

Guidelines for Proposals

The Standard Application for Financial Assistance (attached) must be completed for each grant proposal. If an LEA is proposing more than one Part C project, separate application packages must be completed for each proposed project. Instructions for each section of the proposal are provided below.

Part I - General Information - Attached instructions should be sufficient.

Part II - Assurances: District Assurances are on file in the USOE and are applicable to the Title IV program.

Part III - A Program Narrative written according to the format described below should be provided. Please note that the format of the Program Narrative will vary to some degree depending on whether the LEA is proposing an adoptable project or a continuing developmental project.

Instructions for Part III - Program Narrative

Contents of Program Narrative for Continuing Developmental Projects

The Program Narrative for Continuing Developmental Projects should be no longer than 25 pages and should include the following components:

1. Abstract (1 page): Provide a concise summary of the need to which the project is responding, a description of the project, the project's objectives, the proposed activities, and the anticipated outcomes and benefits of the project.

2. Table of Contents (1 page): A table of contents containing 2 or 3 levels of headings should be included to assist reviewers in locating specific sections of the application. Each page of the program narrative beginning with the Statement of Needs section should be consecutively paginated.

3. Statement of Need (1 - 3 pages): Discuss in detail the particular need to which the proposed project is responding. Evidence as to why the LEA views this as a critical need should be presented. Needs assessment data may, but need not necessarily include reference to test scores, survey data, or other statistical information. Of paramount importance is that the LEA demonstrate conclusively that the area to which this project is responding represents a top priority need in the LEA which has support of local administration and has been identified through a systematic and comprehensive process.

4. Objectives (1 - 3 pages): No more than six main project objectives should be listed. Although some process objectives are acceptable, most of the objectives should be outcome objectives. All objectives must be clearly stated in measurable terms. The relationship of the objectives to the need described in Section 3 must be clear. If desired, the applicant may want to group objectives under 1-3 project goals. For continuing projects it is permissable to revise the original objectives based on the previous year's experience.

5. Accomplishments of Previous Year (5 - 8 pages): Summarize the activities, accomplishments, and progress of the project during the previous year. Include any evidence regarding the effectiveness of the project and adherence to projected timelines. Any difficulties the project has encountered should be discussed along with the actual or proposed resolution.

6. Statement of Work (5 - 8 pages):

   a. Program Development: Describe the procedures and activities which will be necessary to conduct the project for the coming year. Activities for the coming year should be described in detail and activities for subsequent years (if any) should be summarized briefly. This discussion should provide evidence of the LEA's ability to conceptualize and carry out a project of this nature. A timeline showing the projected completion date of key project milestones should be included.

b. Evaluation of Project Effectiveness: Describe in detail the evaluation activities which will be conducted to determine whether the project has been effective in responding to the critical area of need identified by the LEA. Evaluation activities should be structured so the LEA can make decisions about continuing the project after Title IV - Part C funding is completed, as well as providing information about the attainment of each of the objectives.

7. Project Deliverables (1 - 2 pages): Summarize briefly the reports, instructional materials, handbooks, or other products that the project will produce. As a minimum this section should include reference to the interim and final reports of the project which will be submitted during the funding year.

8. Qualifications of Proposed Staff (2 - 4 pages):

a. LEA staff: Describe the relevant training, experience, and expertise of involved LEA staff that will enable them to successfully implement and evaluate the project. The responsibilities of each staff member regarding the project should be discussed.

b. Projected Technical Assistance: Describe any additional technical assistance which will be required from non LEA staff in order to implement the project. The rationale for this assistance and the way in which assistance will be coordinated with LEA staff should be included.

9. Budget: Continuing Developmental Projects are funded to the degree necessary to develop, implement and test the effectiveness of a project which is responding to previously identified critical needs. Generally, it is anticipated that Title IV - Part C funding will be reduced during the 2nd and 3rd years of the project and LEA support and funding will be increased.

Each application for funding must be supported by a detailed budget adequate to establish the reasonableness of the proposed expenditures. The budget should contain two sections:

a. Line item budget: A line item budget should contain, as a minimum, projected expenditures in the following areas: (1) personnel, (b) employee benefits, (c) purchased services (e.g. consultants), (d) supplies and materials, (e) travel, (f) capital expenditures, (f) total direct costs, (g) indirect costs, and (h) total.

b. Budget narrative: An attached budget narrative should show in detail how the line item total for each line was arrived at for all totals which are not readily apparent.

Contents of Program Narrative for Adoptable Projects

The Program Narrative for adoptable projects should be no longer than 25 pages and should include the following components:

1. Abstract (1 page): Provide a concise summary of the need to which the project is responding, a description of the project, the project's objectives, the proposed activities, and the anticipated outcomes and benefits of the project.

2. Table of Contents (1 page): A table of contents containing 2 or 3 levels of headings should be included to assist reviewers in locating specific sections of the application. Each page of the program narrative beginning with the Statement of Need section should be consecutively paginated.

3. Statement of Need (1 - 3 pages): Discuss in detail the particular need to which the proposed project will respond. Evidence as to why the LEA views this as a critical need should be presented. Needs assessment data may, but need not necessarily, include reference to test scores, survey data, or other statistical information. Of paramount importance is that the LEA demonstrates conclusively that the area to which this project is responding represents a top priority need in the LEA which has support of local administration and has been identified through a systematic and comprehensive process.

4. Objectives (1 - 3 pages): No more than six main project objectives should be listed. Although some process objectives are acceptable most of the objectives should be outcome objectives. It is anticipated that the objectives for the proposed project will parallel closely those of the validated project which is being adopted. All objectives must be clearly stated in measurable terms. The relationship of the objectives to the need described in Section 3 must be clear. If desired, the applicant may want to group objectives under 1-3 project goals.

5. Statement of Work (6 - 12 pages):

a. Rationale for Selection: Discuss the process and rationale used to select this particular adoptable project from among the available alternatives. What evidence exists that the project will meet the identified need, what alternative approaches were considered, and what advantages does this project have that led to its selection?

b. Implementation: Provide a brief description of the proposed project. Also describe in detail the activities and procedures which will be necessary to properly implement the proposed project. This discussion should provide evidence of the LEA's ability to conceptualize and carry out a project of this nature. A timeline showing the projected completion date of key project milestones should be included.

c. Necessary Adaptation and Preservation of Key Elements:

Although some minor adaptation may be necessary by the adopting LEA, it is imperitive that the "key elements" of the validated project be preserved during the adoption process if the identified needs are to be met. This section should describe the rationale for and the extent of any adaptations which will be necessary for the LEA to adopt this project. Procedures for insuring that the key elements of the validated project are preserved should be summarized.

d. Projected Contact with Developer/Disseminator: The adoption of most validated projects requires that the adopting LEA have contact with the original developer of the project or with trainers who have been certified by the original developer. The degree to which assistance from the original developer is planned and the procedures for obtaining and coordinating such assistance should be described. If no assistance or contact with the original developer is planned, the LEA's rationale should be given.

e. Evaluation of Project Effectiveness: Describe in detail the evaluation activities which will be conducted to determine whether the project has been effective in responding to the critical area of need identified by the LEA. Evaluation activities should be structured so the LEA can make decisions about continuing the project after Title IV - Part C funding is completed, as well as providing information about the attainment of each of the objectives. It is not the intent of this evaluation to revalidate the adopted project, *per se*; such validation should already have taken place for any project judged ready for adoption.

6. Project Deliverables (1 - 2 pages): Summarize briefly the reports, instructional materials, handbooks, or other products that the project

will produce. As a minimum this section should include reference to the interim and final reports of the project which will be submitted during the funding year.

7. Qualifications of Proposed Staff (2 - 4 pages):

   a. LEA staff: Describe the relevant training, experience, and expertise of involved LEA staff that will enable successful implementation and evaluation of the project. The responsibilities of each staff member regarding the project should be discussed.

   b. Projected Technical Assistance: Describe any additional technical assistance which will be required from non-LEA staff in order to implement and evaluate the project. The rationale for this assistance and the way in which assistance will be coordinated with LEA staff should be included.

8. Budget: Adoptable projects will only be funded to the degree necessary to adequately implement and test the effectiveness of the program within the adopting LEA. Funds may not be used to disseminate a program throughout the LEA once effectiveness has been demonstrated. Furthermore, Title IV - Part C funds will not be approved to implement a program LEA wide for purposes of testing the effectiveness of the program, if an adequate test could be conducted with implementation in only part of the LEA.

   Each application for funding must be supported by a detailed budget adequate to establish the reasonableness of the proposed expenditures.

   The budget should contain two sections:

   a. Line item budget: A line item budget should contain, as a minimum, projected expenditures in the following areas: (1) personnel, (b) employee benefits, (c) purchased services (e.g. consultants), (d) supplies and materials, (e) travel, (f) capital expenditures, (f) total direct costs, (g) indirect costs, and (h) total.

   b. Budget narrative: An attached budget narrative should show in detail how the line item total for each line was arrived at for all totals which are not readily apparent.

APPENDIX 2

Model Continuing Developmental Proposal

TO: All LEA's

FROM: Bill E. Cowan, Specialist
Title IV - Part C

SUBJECT: Model Proposals for Title IV - Part C Grant Applications for FY 82 (1981 - 1982 school year)

The enclosed proposal is an example of a continuing developmental Title IV grant application. The format of the application follows the guidelines recently distributed in the call for proposals. As you prepare your own proposals, you should use this model proposal as a guide.

You should note that the enclosed proposal is single spaced with double columns. Two columns were used in order to provide you with explanations and suggestions. Your proposal should be double spaced and fill the entire page (except for the ABSTRACT which should be single spaced). The length suggestions in the Call for Proposals refer to double spaced pages. If you have any questions about the model proposal or about the requirements for Title IV - Part C funds, contact Mr. Bill Cowan at the Utah State Office of Education.

SEE 02-2522-01 A
1/17/79 200
Interim approval of
form only.

OFFICE OF THE UTAH STATE BOARD OF EDUCATION
STANDARD APPLICATION FOR FINANCIAL ASSISTANCE

PART I - GENERAL INFORMATION

1. Applicant's Name and Address:

Lake Valley School District Name	Special Education Department/Division
579 East 750 South Street Address (P.O. Box	Small City — Lakeview City — County
Utah — 85555 State — Zip Code	

2. Date of Application March 29, 1981	3. Beginning Date July 1, 1981
4. Length of Program 12 months	5. Descriptive Name of Program Notetaking and Tutoring
6. Program Director Mark Howard	

7. Type of Project for which assistance is requested:

☐ New Project
☒ Continuing Project
☐ Revision Project
☐ Other (Specify)____________________
☐ Dissemination Project
☐ Extension Project
☐ Supplement Project
☐ Planning Project

8. The applicant certifies that, to the best of our knowledge and belief, the data in this application are true and correct, and that we will comply with assurances on file if the grant is approved.

School District Lake Valley School District	
Signature of Superintendent	Telephone No. (include area code and extension) (801) 777-5555

Due date is on or before April 1, 1981

Return to:

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NOTETAKING AND TUTORING FOR MAINSTREAMED HEARING IMPAIRED STUDENTS

ABSTRACT

The enrollment of hearing impaired students in the Lake Valley School District has increased dramatically over the past two years. In 1970 there were two secondary aged hearing impaired students and in 1980 this number increased to 32. A needs assessment conducted by the district in 1980 indicated that these newly enrolled hearing impaired students needed more than the traditional support service of interpreting. The data demonstrated that notetaking and tutoring services were also critically needed by the hearing impaired students. As a result of the needs assessment, the district began to develop a program to train normally hearing peers and paraprofessional adults as tutors and notetakers. The primary goals of the program are to help hearing impaired students succeed in the regular classroom and to improve the social contact between hearing impaired and normally hearing students. In FY-81 the district: 1) conducted a materials search, 2) completed content and task analyses on both tutoring and notetaking, 3) produced a prototype copy of the notetaking training materials and 4) conducted a small pilot test with the notetaking training program. In FY-82 the district will: 1) revise the notetaking materials, 2) design a handbook for tutors, 3) design workshops to train tutors and notetakers and 4) implement the entire instructional system with normally hearing peers and paraprofessional adults. In order to evaluate the effectiveness of the program the district will: 1) have the materials critically reviewed, 2) videotape tutoring sessions and rate the quality of these sessions, and 3) survey teachers, students and tutor/notetakers. In each of these evaluation activities data will focus on two questions: 1) should the program be continued? and 2) if the program is continued, how could it be improved? If the data indicate that the program is perceived positively, the district will propose a continuation of its development for FY-83. During this final year summative data will be gathered on the entire instructional system.

The Need

Objectives

Accomplishments

Statement of Work

Future Plans

SUGGESTIONS TO APPLICANTS

The abstract is a brief condensation of the larger proposal. It should contain each of the major parts of the proposal you see bracketed in this example. The abstract should not contain any information on the qualifications of proposed staff or budget figures.

The statement of work section is the heart of the abstract. It should contain a concise description of the major development and evaluation tasks you expect to accomplish during the coming year.

If appropriate, include a brief description of your project plans for the following year.

NOTETAKING AND TUTORING FOR MAINSTREAMED HEARING IMPAIRED STUDENTS

STATEMENT OF NEED

In 1976 the Lake Valley School District was selected as one of two target school districts in the state to accept mainstreamed hearing impaired students. As enrollment data were analyzed in the school district a distinct increase of hearing impaired student enrollment was noted. In 1970 the school district enrolled only two secondary aged hearing impaired students. In 1975 there were ten hearing impaired students enrolled and with the passage of P.L. 94-142 the enrollment increased to 32 hearing impaired students in 1980.

As more hearing impaired students enrolled in secondary programs, the district began to examine the types of support services needed by these students. During intake interviews, parents usually requested three types of services for their hearing impaired children: (1) interpreting services, (2) note-taking services, (3) tutoring services. While some parents felt that their child did not need all three services, all parents requested at least two of the services. When the initial Title IV developmental proposal was submitted last year, the district had no means of providing these critical support services to hearing impaired students.

As part of the initial developmental proposal submitted last year, the district conducted a needs assessment with hearing impaired students, specialists in deaf education, teachers, and parents. The results of that needs assessment indicated that students viewed and interpreted as extremely important and equally valued support services. As academic performance of hearing impaired students was examined, however, it was found that notetaking alone did not ensure academic success. Even for students who had both interpreting and notetaking services, teachers still felt a need for additional remedial instruction. Another important finding in the needs assessment indicated that almost none of the hearing impaired students had developed a healthy social relationship with normally-hearing students.

SUGGESTIONS TO APPLICANTS

The Statement of Need section in a continuing developmental proposal should briefly summarize the need statement of your new developmental proposal written the previous year.

The need statement should also include any new data gathered during the first year of the project. As you move through a development project, your needs often change or become more focused. Describe any "new" needs which have surfaced and describe evidence for these needs.

OBJECTIVES

First goal: To help hearing impaired students succeed in the regular classroom.

1. To improve the academic performance of hearing impaired students as measured by criterion referenced tests administered by the teacher and norm referenced tests administered by the school district.
2. To improve hearing impaired students' personal study habits as measured by students' and tutors' perceptions.
3. To increase hearing impaired students' independent study time.

Second goal: To improve the social contact between hearing impaired and normally-hearing students.

1. To increase the attendance of hearing impaired students at school social functions.
2. To increase the amount of personal contact and communication between hearing impaired and normally-hearing students.
3. To provide more opportunities for hearing impaired students to act as tutors for normally-hearing students.

Make the objectives short and pointed. In this proposal each objective fits under a broader goal. The goal need not be "tight". But the objectives should be discrete and measurable.

Some of these objectives are not designed to be measured with paper/pencil test—but each objective is stated so that the proposal reviewer can see how you intend to measure it.

ACCOMPLISHMENTS OF PREVIOUS YEAR

One of the most important accomplishments of FY-81 was the completion of a more thorough needs assessment. Several important conclusions resulted from the needs assessment efforts of the district. First, hearing impaired students had difficulty reading the notes taken by volunteers. Second, it was often difficult to find interested volunteers who were willing to commit themselves to the task. Third, the needs assessment demonstrated that even when adequate notes were provided to students, comprehension of course content still suffered. These data indicated that hearing impaired students in a mainstreamed setting needed more than the interpreting and notetaking support services provided. Fourth, of the ten hearing impaired students that were tracked during the needs assessment, only two students had developed meaningful friendships with normally-hearing students. The remaining eight hearing impaired students had almost no social contact outside of school with either hearing impaired or normally-hearing students. As the family members of these eight socially isolated students were interviewed, it was determined that the students' socialization in the school for the deaf had been more healthy than it was in the mainstreamed setting. In other words, these eight students had previously felt comfortable with certain other hearing impaired friends and now had been unsuccessful at making any hearing impaired or normally-hearing student friends.

In a continuing developmental proposal it is important to state clearly the accomplishments of the previous year. You should feel free to describe your "real" accomplishments, even if they differ from what you expected to do.

Materials Search

Following the needs assessment a thorough materials search was conducted to identify strategies and/or programs that would aid the district in developing a new notetaking and tutoring instructional system. As part of the materials search, written and telephone contacts were made with six major institutions in the country involved in educating hearing impaired students: 1) The National Technical Institute for the Deaf in Rochester, New York, 2) Gallaudet College in Washington D. C., 3) the California State University at Northridge, 4) the Seattle Community College, 5) the Technical Vocational Institute in Minnesota, 6) and the Texas School for the Deaf at Austin. Each institution was asked to provide information regarding notetaking and tutoring

Most new developmental projects should include a materials search. If you did not conduct a formal search, describe how you determined that a new program needed to be developed. (You may have contacted experts who assured you that such programs were not available).

strategies for mainstreamed deaf students. Publishers such as the Alexander Graham Bell Association of the Deaf, and the Conference of American Instructors of the Deaf were contacted concerning published programs on notetaking and tutoring.

The results of the materials search indicated that institutions involved in deaf education were just beginning to consider the support services of tutoring and notetaking. While most institutions had elaborate training programs for interpreters, none of the institutions had a viable program for training notetakers or tutors. Certain of the institutions had begun, but not yet completed the development of such programs. Telephone contacts were made with the developers at those institutions responsible for creating a training model for the notetaking and tutoring services. These contacts, however, showed that the institutions were in the preliminary stages and had not yet finalized any training programs or models. While the materials search did not identify any validated training procedures for notetakers, training programs for tutors were found. None of the tutoring models identified had been validated with hearing impaired students, but two of the models did seem to have potential for such. These two models were entitled The Programmed Tutorial Model and the Structured Tutoring Model. After careful review by administrators, special educators, and deaf education specialists on the selection committee, it was determined that the structured tutoring model would provide the district with the best pattern for developing its own tutoring program for hearing impaired students.

Content and Task Analyses

During FY81 the project team conducted independent content and task analyses for both notetaking and tutoring. In the task analyses each team member independently listed all of the tasks and subtasks that would be necessary to be a proficient notetaker and a proficient tutor. These individual analyses were compared for consistency. Final lists were then prepared by the committee and reviewed by experts involved with deaf education support services. The final lists contained major skills necessary for notetaking and separate skills necessary for tutoring. Underneath each major skill, subskills were listed and content specifications suggested for organizing the skills

Usually, a materials search results in the identification of some programs that are close to your project. You should summarize the ideas you have borrowed from such programs.

In most developmental projects you will conduct some kind of content and/or task analysis so that you can identify the precise components of what you want to teach.

and subskills into an appropriate format for instructional presentation.

The major skills identified for notetaking were as follows: 1) ability to modify language so that hearing impaired students can comprehend it, 2) ability to organize classroom lecture material that is presented haphazardly, 3) ability to use effective instructional techniques when taking notes (generate additional examples and modify teacher generated definitions), 4) awareness of common experiential deficits of hearing impaired students.

The major skills identified in the content and task analyses on tutoring indicated that proficient notetaking skills would be easier to acquire than would proficient tutoring skills. The major skills identified for tutoring were as follows: 1) basic skills in manual/simultaneous communications, 2) general skills in communicating with hearing-impaired students (techniques for communicating with both oral and simultaneous communications students), 3) skills in general tutoring techniques (being supportive of the student, providing structure in tutoring sessions, and increasing student independence), 4) expertise in the content being taught.

Based on the task and content analysis, it was determined that student peers would be trained as notetakers and paraprofessional adult aides would be trained as tutors for the mainstreamed hearing impaired students in the district. It was argued that student peers would not be able to become effective tutors because of the difficulty in acquiring communications skills. The committee agreed that paraprofessional adult aides would be more appropriate as tutors because they would be able to participate in communications training. It was also argued that another advantage of using paraprofessional adults as tutors would be the tighter control made possible because they would be employees of the district.

Notetaking Training Materials Produced

During FY-81, a 50 page manual was drafted as a notetaking training aide. The manual contains three major sections. The first section describes appropriate procedures for interacting with the hearing impaired student and the classroom teachers.

If you are unfamilar with procedures for conducting task or content analysis, you can involve a professional program developer as a technical consultant.

(Your accomplishments may differ greatly from the accomplishments described in this proposal, but the section is important and should be given careful thought).

One of the most important parts of last year's accomplishments is a description of the products you produced. If you did not complete any

Notetakers are encouraged to provide teachers with examples of their notes and to encourage hearing impaired students to provide critical feedback on the notes, so that notetakers can improve their skills. The second section of the manual focuses on the mechanics of notetaking, including: organization techniques, using white space, making copies of notes, identification and pagination. The third section of the manual provides examples and directions for making instructional modifications in the classroom lecture as the notes are taken. Notetakers are encouraged to increase the number of examples given to explain concepts, use visual diagrams wherever possible, and to modify difficult concept definitions.

Notetaking Pilot Test

During FY-81, ten notetakers were trained in one high school to serve 15 hearing impaired students. The basic conclusions of the notetaking pilot test indicated that the training given to student peers was effective. Through a notetaking simulation study, hearing impaired students were asked to rate the quality of notes taken by trained notetakers and notes taken by untrained notetakers. The results of the study indicated that hearing impaired students consistenly preferred notes taken by trained notetakers. Teachers who reviewed the notes taken by trained and untrained notetakers also agreed consistently that the training was producing an important and positive effect.

One of the surprising findings during the FY-81 pilot study concerned the increased interest level of normally hearing students in the hearing impaired program. Because of the interests that have been generated by the notetaking pilot test, the special education director in the district proposed that a course in sign language be offered in the foreign language department of the high school. Although the course was not heavily advertised, 40 students (38 normally-hearing students and 2 orally trained hearing impaired students) registered for the course. At the completion of the term, the sign language intructor asked the students in the class if any of them would be interested in participating as tutors the following year in the notetaking and tutoring project. Twelve of the students indicated such an interest (11 normally-hearing students and 1 orally trained hearing impaired student).

final instructional products, you should describe how much of the product you have completed.

A developmental project should include some form of a pilot test. You may describe here any attempts you have made to try out your ideas. You may not have conducted a formal pilot test during the first year, but even if you only got preliminary feedback from a small sample of students or teachers, describe the results in this section.

STATEMENT OF WORK

Program Development

FY-82, the development phase, will consist of eight separate steps as can be seen in the project time line chart at the end of this section. The first task will be to revise the notetaking handbook based on the evaluative data collected in FY-81. While the data showed that the program accomplished its purpose, notetakers and critical reviewers made helpful suggestions for improving the notetaking materials. The most notable of the criticisms was the lack of adequate examples to illustrate the various principles described in the handbook. More appropriate examples of quality notes were collected during the FY-81 pilot test and will be included in the FY-82 version of the notetaking handbook. The second task to be accomplished in the development phase will be to conduct communications training for paraprofessional adults and the previously mentioned interested normally-hearing peers. This training will be conducted three weeks prior to the beginning of school and will end two weeks after the school year begins. The training will consist of sign language communications training and general techniques for communicating with hearing impaired students.

The primary development task for FY-82 will be to design and produce a handbook for tutors of hearing impaired students. Many of the basic principles included in the handbook will be borrowed and adapted from the structured tutoring model selected by the project team in FY-81. It is anticipated that the handbook will consist of four primary sections: 1) a section on general techniques of tutoring, 2) tutoring techniques for specific content areas, 3) communications aides, 4) study skills development techniques. During the design phase (task No. 3 on the project time line) each of the major sections of the manual will be analyzed and outlined.

Once the committee has agreed on specific design specifications for the tutoring handbook, sections of the manual will be assigned to various project team members. During this phase, the writing and illustrations for the handbook will be produced by the team members and graphics specialists. As each section of the manual is completed, project team members will review each other's work. An

In the Program Development section you should explain the process you will use to create the instructional products and strategies to implement the program. Some of these tasks may involve revisions of products you began to develop last year. In this example proposal the notetaking handbook needed major revisions during the second year of the project.

You will also describe new development activities. In this proposal the tutoring handbook was the major focus of development efforts for the second year of the project.

English specialist, experienced in editing, will then edit the handbook for language consistency.

After the tutoring handbook has been completed, workshops will be designed to introduce the principles to student peers and paraprofessional adults. These tutoring workshops will include role playing, the general techniques through simulation activities, general practice in communications techniques (including language modification techniques for tutoring), and study skills development. As the workshops are being designed, the project team member in charge of implementation will assign the notetaking and tutoring services to students for the following term.

At the beginning of the term in FY-82, the prospective tutors will be trained using the format produced during the design phase for the workshops. It is anticipated that at least four separate workshops will be conducted for the paraprofessional adults and the student peers. Once the peers and adults have been properly trained, the tutoring services will be implemented on a pilot basis from the last week in February to the end of the school year.

In FY-83 the tutoring materials will be revised based on the data gathered in the FY-82 field test. Minor revisions will also be made in the notetaking training materials. After the materials have been revised the total program will be implemented and evaluated. In FY-83 the evaluation will be designed to gather primarily summative data rather than formative data as gathered in FY-82. Emphasis will be placed on determining the overall worth of the program to hearing impaired students. A comparison group will be designated who will not receive tutoring or notetaking services during the first term of school. These students' progress will be compared with students who do have access to the services.

Evaluation of Project Effectiveness

As can be seen on the project time line chart at the end of this section, there are six primary evaluation tasks to be conducted during FY-82. The first task will be to obtain competent reviewers (experts in deaf education, tutoring, and support services for deaf students) to provide critical

In all continuing developmental proposals there are some "implementation" type activities that must be included. Some of those activities fit more appropriately in the development section, and others fit more appropriately in the evaluation section. Tasks which focus on training probably belong in the development section, while tasks which focus primarily on data collection primarily belong in the evaluation section.

If you plan to continue the program a third year, briefly indicate your project plans for that year.

feedback on the materials. Reviewers will critically review the materials alredy produced for notetakers and, more importantly, the newly produced materials for tutors. These "face-validation" activities will provide the project team with needed information on how the materials can be improved. Reviewers' comments will compiled by one of the project team members and used for materials revisions.

The second evaluation task will involve the video taping of tutoring sessions conducted by both student peers and paraprofessional adults. Each of the tutors will be asked to provide the project team with a schedule of their tutoring sessions. The project team will then select at random tutoring sessions to be videotaped. These videotapes will serve two purposes: 1) as a training aide to help tutors improve their skills. 2) as a source of specific data on the effectiveness of the training program.

After the videotapes have been gathered, they will be randomly assigned to trained raters selected from among project team members and other specialists in tutoring and deaf education. A special rating scheme will be devised to evaluate the degree to which tutors have mastered the required tutoring skills taught during the training program used as the workshops and the tutoring handbook materials are revised.

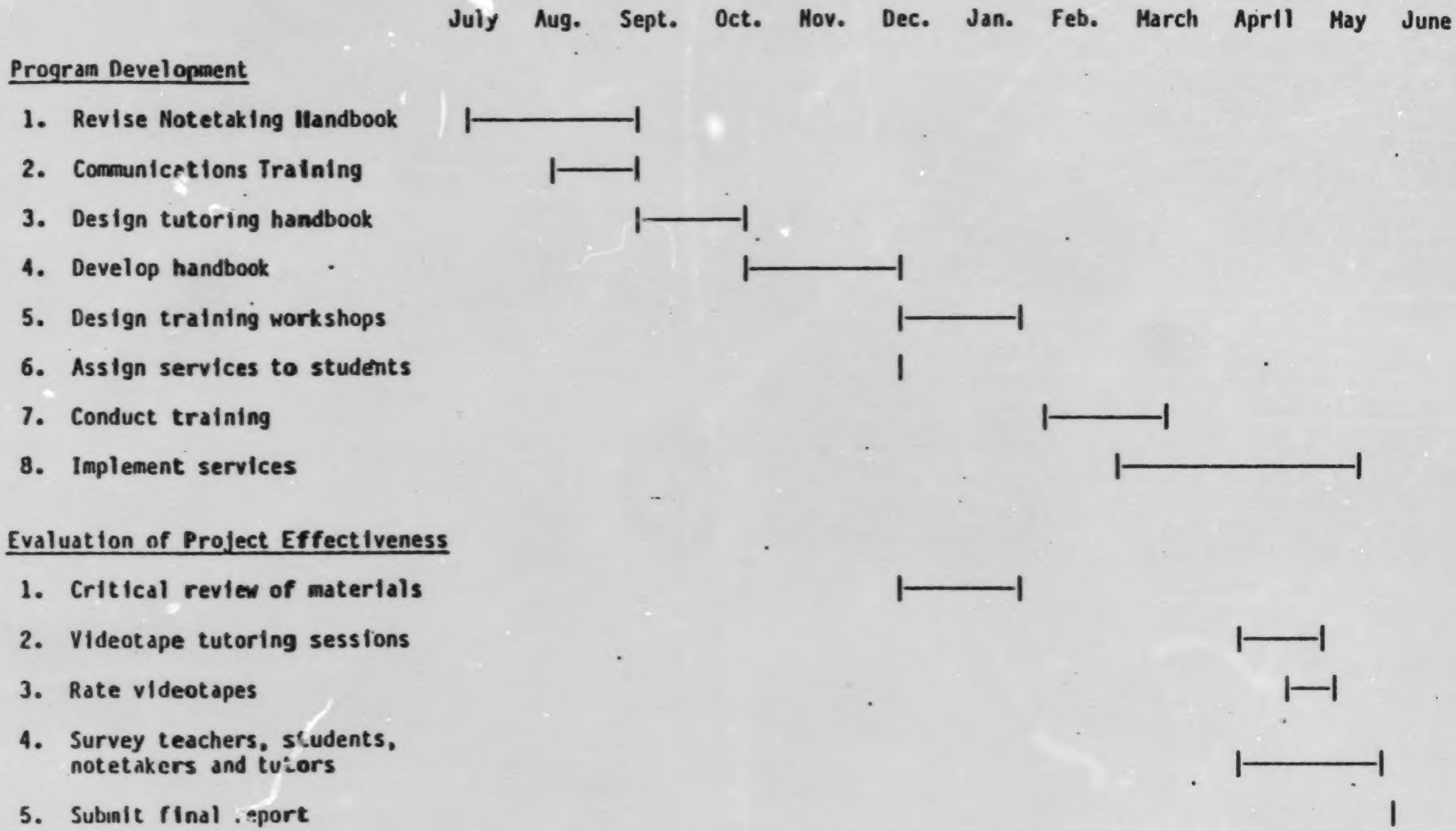
The fourth task in the evaluation process will be to gather formative data from teachers, students, notetakers, and tutors. Each of the teachers, students, notetakers, and tutors involved in the project will receive a questionnaire regarding the quality of the notetaking and, more importantly, the tutoring services. One of the critical questions on the survey will ask each of the groups to determine whether or not the program should be continued in the district. For respondents who believe that the program should be continued, a further question will require them to justify their answer. In other words, respondents will be asked to explain as completely as possible the reasons they think the tutoring and notetaking program should be continued in the district. Other questions on the form will focus specifically on the quality of the tutoring and the notetaking services that have been provided during the pilot test. These data will be used to determine whether the district should continue the development of the project.

There is no hard and fast rule for breaking out the activities involved in "piloting" the program. Either section might be appropriate for some tasks in your project.

The easiest way to write the evaluation (and development) sections is to plot out the various tasks on a time line and then briefly explain each task in the text of the proposal.

The time line chart at the end of this section was written first as a guide for the text. As you write your own proposal, you should think of the major tasks that should be included on such a chart as you plan your project. If you need assistance in writing the development or evaluation sections, assistance can be obtained from the state office.

PROJECT TIME LINE



The final task in the evaluation phase of the project will be to complete the final report. Each of the team members will be asked to complete a section of the final report. The team members responsible for the notetaking part of the project will focus on the data gathered on notetaking, and the team members responsible for tutoring will complete the section on tutoring.

PROJECT DELIVERABLES

During FY-82, the project anticipates the production of four separate deliverables.

1. The Revised Notetakers Handbook. It is anticipated that this handbook will be approximately 75 pages long and will include additional examples and illustrations of quality notes for hearing-impaired students. Each of the revisions will be based on the data gatherd during the FY-81 pilot test of notetaking services.

2. Tutoring handbook. The Tutoring Handbook will be the first addition of training materials for paraprofessional adult and student peer tutors. While critical reviews will be obtained on the tutoring materials, it is anticipated that the guide will require substantial revisions in FY-83.

3. Manager's Guidebook. The manager's guidebook will consist of training techniques to be used during the workshops conducted for tutors and notetakers. The guidebook will be used by teachers and trainers who introduce student peers and paraprofessional adults to the tutoring and notetaking techniques in the program. This manual will allow other districts to implement the project with less assistance from the program developers in this district. It will make the project more exportable and more valuable to the state and schcols in other states. During FY-82 it is anticipated that the managers guide will consist of a brief outline of objectives and training techniques. It is proposed that in FY-83 the managers guide be

Your project may involve very different kinds of instructional products. You may describe a filmstrip, a videotape, a collection of posters, a set of role-playing scripts or a computer assisted package of instruction. In each case the products should fit the purposes of your program and be as "exportable" as possible. In other words, each product should be designed so that some other district could use it effectively with a minimum of training.

professionally developed and critiqued. It would be unwise to expend significant time of money on the managers guide in FY-82 before the tutoring handbook has been revised and completed.

4. Reports. An interim report will be submitted in January. The report will briefly describe the progress in the project, emphasizing the development milestones of the project. The final report will consist of all of the evaluation data collected during FY-82. Special emphasis will be placed on recommendations for improving the program and for revising the materials. The report will thus focus on formative data rather than summative data. It is proposed that a summative study of the program be conducted in FY-83.

QUALIFICATIONS OF PROPOSED STAFF

LEA Staff

Project Director: Mark Howard.

Dr. Howard obtained and Ed.D. in special education from Utah State University in 1976. He is presently employed as the Director of Special Education in the district. In the notetaking and tutoring project Dr. Howard will be responsible for the overall coordination of the development and evaluation of the program. Dr. Howard will assist in the actual production of instructional materials. He will summarize recommendations and make materials revisions. He will assist in the training of tutors and notetakers and will act as a quality control person for the entire project. Some of Dr. Howard's past accomplishments include:

- Primary developer for the State-wide program to assist homebound retarded adults.
- Director of Project Mainstream (a program to assist parents of retarded children). Committee chair person for the statewide assessment of implications of public law 94-142.

Your interim report should be a brief summary of the progress you have made on the project at mid year.

Your final report will be part of your proposal for the following year, if you plan to continue the project.

Descriptions of qualifications of your staff need not be lengthy. Give highlights of their professional accomplishments that pertain directly to the program you are proposing.

Content Specialist: Leona Mortensen

Ms. Mortensen holds a Masters degree in deaf education from University of Oklahoma. Ms. Mortensen's prime responsibility in the project will be to provide developers and the project director with needed expertise in the field of deaf education. Ms. mortensen will review all written materials to ensure that they are appropriate for a deaf population. She will also act as a formative screener by attempting to use all newly developed techniques herself (with her own deaf students) before the techniques are used by paraprofessionals. She will also assist heavily with the training components. The qualifications include:

- R. I. D. certification as a trained interpreter for hearing impaired people.
- Six years experience as a teacher of hearing impaired students at the Utah School for Deaf in Ogden.
- Co-author of a syllabus for training teachers in regular classrooms to accept newly transferred hearing impaired students into the classroom.
- Intern at the National Technical Institute for the Deaf in Rochester New York during the 1977-78 school year.

Implementation Coordinator: Sally Feld

Ms. Feld obtained a Masters in Special Education from the University of California at Los Angeles in 1971. She is presently employed as a resource teacher in the District. Her specialties include learning disabilities and remedial reading instruction. In 1976 she was given the exemplary teaching award for the outstanding special educator in the State. Ms. Feld's prime responsibilities in the notetaking and tutoring project will be to coordinate the details in implementing the tutoring program and coordinating activities for the program's evaluation.

- Invited participant at the National Conference on Learning Disabilities held in Washington, D. C. in 1978.

- Invited committee member for the State Assessment project on mainstreaming and Public Law 94-142.

Projector Technical Assistance

Program Developer: Dr. John Wood

Dr. John Wood holds a Ph.D. in Instructional Science from Brigham Young University. He has authored numerous instructional programs including programs for retarded and hearing impaired students. He is presently employed as an instructional scientist at the National Institute for Instructional Development in Denver, Colorado. In the notetaking and tutoring project Dr. Wood would be responsible for the design and development of instructional materials used in the project. He will consult with the Project Director and the other team members on each of the handbooks to be developed and will also assist in the pilot testing of materials.

Evaluation Specialist: Dr. Steven Scriven

Dr. Scriven holds a Ph.D. in research methodology from the University of Colorado at Boulder. He is presently employed as an Associate Professor and research associate in the Bureau of the Educational Research at the University of Utah.

Dr. Scriven's responsibility in the notetaking and tutoring project will be to assist the project director with the design and execution of the evaluation of the program. He will assist the project team in designing instruments, sampling techniques, and data analysis. Dr. Scriven will also assist with the completion of the final report which will focus on project accomplishments and the effectiveness of the program.

If you feel the specific skills you need cannot be found in the district, it may be advantageous to obtain technical expertise from outside of the district. The state office has a list of evaluation and development specialists that you might consider as you select your technical assistants.

Proposed Budget

1.	Personnel		
	Mark Howard	25% 3 months	$ 5,000.00
	Leona Mortensen	17% 4 months	3,570.00
	Sally Feld	8% 1 month	1,360.00
	John Wood	30 days @ $125/day	3,750.00
	Steve Scriven	20 days @ $125/day	2,500.00
2.	Fringe (20% of salaries)		1,986.00
3.	Travel:	Mileage @ 18 cents/mile	180.00
		Per Diem @ $37.50/day	525.00
		Air Fare $50.00 round trip Denver to SLC	350.00
4.	Consumable supplies		500.00
5.	Communications:	Postage	108.47
		Telephone	335.26
6.	Capital Expenditures		0
7.	Total		$20,164.73

Explanation of Budget Line Items

Line Item Number One: Personnel

Current anual base salaries for personnel who will be working on this project are as follows:

Project Director, Mark Howard	$20,000
Content Specialist, Leona Mortensen	21,000
Implementation Coordinator, Sally Feld	17,000

Funds budgeted for these people during the project were computed using an appropriate percentage of these current salaries. The consultant fees for Dr. John Wood and Dr. John Scriven were computed at $125.00 per day.

The purpose of this section is to explain the previous line items by showing how you arrived at each of the figures.

Line Item Number Two: Fringe Benefits

Fringe benefits were computed using the current school district rate of 20 percent of salaries. This figure was applied to all School District employees salaries. Consultant fees were fixed at $125.00 per day with no allowance for fringe benefits included.

Line Item Number Three: Travel

The cost of travel was computed at the current Utah State Office of Education rate of 18 cents per mile. It is anticipated that 20 round trips of 50 miles each will be required in order to complete the project, equalling $180. It is further anticipated that Dr. Wood will be require to make seven trips from Denver, Colorado at $50 per round trip air fare and $37.50 per day for 14 days of per diem. Thus the per diem will total $525 and the air fare will total $350.

Where line items are not clear, you should explain the rationale behind the amount requested.

Line Item Number Four: Consummable Supplies

In order to implement the notetaking and tutoring program, instructional manuals will be required for each notetaker and tutor participating in the study. It will also be necessary to provide each of the notetakers with an ample supply of notetaking paper (pressure sensitive) so that they can provide the student with one copy of the notes, keep a copy themselves, and give a copy of the notes to the project director. The notetaking paper cost $5 per pad and the manuals will cost about $10 each.

It is anticipated that we will need 40 manuals and 20 packets of notetaking paper.

Line Item Number Five: Communications

Based on historical recores of similar grants we have budgeted 0.55 percentof the total grant for postage cost and 1.7 percent of the total grant for telephone cost.

Line Item Number Six: Capital Expenditures

It is not anticipated that this project will require a purchase of any new capital equipment.

Line Item Number Seven: Poject Total Cost

Total project cost is a simple summary of line items 1-6.

You do not need to use these specific figures when calculating your communications costs. Simply provide a reasonable estimate based on project needs and your past experience.

Certain line items, such as #6 and #7 are self-explanatory and need no further documentatic

APPENDIX 3

Review Form Used in 1981 Proposal Review for Utah Title IV - C Proposals

GENERAL INSTRUCTIONS

Each application should be independently rated by each panel member using the appropriate rating forms. Brief justification for each rating should be provided. The explanation accompanying each rating category on the form as well as the contents of the memorandum "Request for Title IV - Part C Proposals for FY81" should provide sufficient information about what should be contained in each proposal. Each proposal should be given a total number of points by summarizing the points given in each of the following categories.

CONTINUING DEVELOPMENTAL PROPOSALS

	Category	Range of Points
I	Past Performance	0 - 30
II	Statement of Need	0 - 10
III	Quality of Objectives	0 - 10
IV	Statement of Work	0 - 20
V	Qualifications of Personnel	0 - 20
VI	Cost Effectiveness	0 - 10
	TOTAL	0 - 100

ADOPTABLE PROPOSALS

	Category	Range of Points
I	Statement of Need	0 - 35
II	Quality of Objectives	0 - 10
III	Statement of Work	0 - 25
IV	Qualifications of Personnel	0 - 20
V	Cost Effectiveness	0 - 10
	TOTAL	0 - 100

IF, WITH REGARD TO THIS CATEGORY, THE PROPOSAL EXHIBITS:

ASSIGN POINTS WITHIN THE FOLLOWING RANGES:

Points Possible:

	10	20	25	30	35
a. No or almost no problems or weakness →	9-10	18-20	23-25	27-30	32-35
b. Minor problems or weaknesses which could likely be corrected as a condition of funding →	7-8	15-17	19-22	23-26	27-31
c. Moderate problems which could jeopardize the success of the project in meeting the objectives of Title IV - Part C →	5-6	10-14	13-18	15-22	18-26
d. Major problems which definitely will jeopardize the success of the project in meeting the objectives of Title IV - Part C →	3-4	6-9	7-12	8-14	9-17
e. Little or no compliance with what the proposal should have contained for this category →	0-2	0-5	0-6	0-7	0-8

Application for Funds under Title IV - Part C
for FY 81

ADOPTABLE PROJECTS

District Title	Application #

RATINGS

I	STATEMENT OF NEED	(0 - 35)	______	
II	QUALITY OF OBJECTIVES	(0 - 10)	______	
III	STATEMENT OF WORK	(0 - 25)	______	
IV	QUALIFICATIONS OF PERSONNEL	(0 - 20)	______	
V	COST EFFECTIVENESS	(0 - 10)	______	
	TOTAL RATING	(0 - 100)	______	

RECOMMENDED ACTION (place an "X" in appropriate space)

______ APPROVAL

______ DISAPPROVAL

______ CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

______________________ Signature of Reviewer

______________ Date

- STATEMENT OF NEED (0 - 35) Is the project responding to a priority area of need within the LEA? Is there evidence that some type of systematic process was used to establish this area of need and that the project has the support of LEA administration and other key personnel?

RATING

STRENGTHS		WEAKNESSES

- QUALITY OF OBJECTIVES (0 - 10) Are objectives clearly stated in measurable terms, obviously related directly to the need identified by the LEA, and focused on outcomes rather than processes?

RATING

STRENGTHS		WEAKNESSES

III. STATEMENT OF WORK (0 -25) Was the process used to select this particular adoptable adequate to ensure that the selected project will meet the identified need? Are adequate provisions built into the adoption process to ensure that key elements of the validated project are maintained and appropriate contact is had with the original developer or certified trainer? Are procedures for implementation and evaluation appropriate, technically adequate, and sufficient for the scope of the project? Will the project result in outcomes or deliverables which are educationally important and which adequately meet the identified need(s).

RATING

STRENGTHS		WEAKNESSES

IV. QUALIFICATIONS OF PERSONNEL (0 - 20) Do the personnel currently proposed for the project (either those on the LEA staff, or others proposed via consultancies or technical assistance) possess the necessary expertise and experience to carry out the proposed project? Is there evidence that the efforts of various staff members will be effectively coordinated and managed?

RATING

STRENGTHS		WEAKNESSES

- COST EFFECTIVENESS (0 - 10) Is the overall budget reasonable and appropriate to adequately implement and test the effectiveness of the program within the adopting LEA? Do any individual budget line items seem inappropriate or lack sufficient justification?

STRENGTHS	RATING	WEAKNESSES

Application for Funds under Title IV - Part C
for FY 81

CONTINUING DEVELOPMENTAL PROJECTS

District
Title

Application #

RATINGS	I	PAST PERFORMANCE	(0 - 30)	______
	II	STATEMENT OF NEED	(0 - 10)	______
	III	QUALITY OF OBJECTIVES	(0 - 10)	______
	IV	STATEMENT OF WORK	(0 - 20)	______
	V	QUALIFICATIONS OF PERSONNEL	(0 - 20)	______
	VI	COST EFFECTIVENESS	(0 - 10)	______
		TOTAL RATING	(0 - 100)	______

RECOMMENDED ACTION
(place an "X" in appropriate space)

______ APPROVAL

______ DISAPPROVAL

______ CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

______________________ Signature of Reviewer

______________ Date

I. PAST PERFORMANCE (0 - 30) Does the project's past performance provide convincing evidence that there is a high probability that the project will be successful in accomplishing the purpose of Title IV - Part C? Have previous activities conformed with original projections and have timelines been met? Does previous work provide an adequate foundation for what is being proposed?

RATING

STRENGTHS		WEAKNESSES

I. STATEMENT OF NEED (0 - 10) Although it is central to the success of Title IV - Part C that projects respond to priority LEA needs, it can usually be assumed that continuing developmentals have already demonstrated such a need--hence the relatively low weighting However, the needs statement is so critical that some consideration is still important. Has this area been identified as a priority LEA need through some type of systematic and comprehensive process? Is there evidence that the project has prior support of LEA administration and other key LEA personnel?

RATING

STRENGTHS		WEAKNESSES

III. QUALITY OF OBJECTIVES (0 - 10) Are objectives clearly stated in measurable terms, obviously related directly to the need identified by the LEA, and focused on outcomes rather than processes?

RATING

STRENGTHS		WEAKNESSES

IV. STATEMENT OF WORK (0 - 20) Are program development and evaluation procedures clearly described, adequate to respond to the previously identified need(s), and sufficiently conceptualized? Will the proposed activities and deliverables build appropriately on what has been accomplished and learned previously?

RATING

STRENGTHS		WEAKNESSES

V. QUALIFICATIONS OF PERSONNEL (0 - 20) Do the personnel currently proposed for the project (either those on the LEA staff, or others proposed via consultancies or technical assistance) possess the necessary expertise and experience to carry out the proposed project? Is there evidence that the efforts of various staff members will be effectively coordinated and managed?

RATING

STRENGTHS		WEAKNESSES

I. COST EFFECTIVENESS (0 - 10) Is the overall budget reasonable and appropriate for the work which is proposed? If this is the 2nd or 3rd year of the project, is LEA financial support increasing and Title IV - C support decreasing; or if not, is there appropriate justification? Do any individual line items seem inappropriate (too high or low)?

RATING

STRENGTHS		WEAKNESSES

APPENDIX 4

U. S. Dept. of Education Special Education Program's 1983 Grant Announcements for Research in Education of the Handicapped

APPLICATION TECHNICAL REVIEW

HANDICAPPED RESEARCH AND DEMONSTRATION, CFDA 84.023

AUTHORITY: Chapter III-2. Grants Administration Manual, Sections 641 and 642 of Part E Of the Education of the Handicapped Act (20 U.S.C. 1441, 1442)

INSTRUCTIONS: See the "Application/Proposal Review" brochure.

PRINT OR TYPE	APPLICANT INSTITUTION	APPLICATION NUMBER 023 _ _ _ _ _ _ _

Each criterion score may range from the minimum to the maximum indicated. Score a criterion that is "barely adequate" at the midpoint.

Criteria		Independent Rating	Final Rating
1. IMPORTANCE	(0-15)	______	(1)______
2. IMPACT	(0-15)	______	(2)______
3. SOUNDNESS	(0-30)	______	(3)______
4. PLAN OF OPERATION	(0-10)	______	(4)______
5. EVALUATION PLAN	(0- 5)	______	(5)______
6. QUALITY OF KEY PERSONNEL	(0-10)	______	(6)______
7. ADEQUACY OF RESOURCES	(0- 5)	______	(7)______
8. BUDGET AND COST EFFECTIVENESS	(0-10)	______	(8)______
TOTAL RATING	(0-100)	______	(T)______

OVERALL RECOMMENDATION

(Enter an "X" in the appropriate space provided below)

____ APPROVAL ____ DISAPPROVAL ____ CONDITIONAL APPROVAL (Conditions must be included with *required* JUSTIFICATION on the next page.)

REVIEWER (print name below)		PROJECT OFFICER (print name below)
SIGNATURE OF REVIEWER	DATE	

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JUSTIFICATION. (Justification for OVERALL RECOMMENDATION must relate specifically to the RATINGS on the preceding page. Consideration should *not* be given to any other factors.)

1. IMPORTANCE (0 to 15 points)

Potential importance of the project to the education of the handicapped. Look for information that shows that:

(i) The area of research is important to the particular target group(s) addressed, *and* that

(ii) This particular project will make an important contribution in that area.

STRENGTHS	WEAKNESSES

COMMENTS

1. IMPORTANCE (0-15) ________

2. IMPACT (0 to 15 points)

The probable impact of proposed research and development products and the extent to which products can be expected to have a direct influence on the handicapped or personnel responsible for the education of the handicapped.

Look for information that shows that:

(i) The products are usable by schools, teachers and others responsible for educating the handicapped.

(ii) The results of the project will be widely disseminated to those interested in making use of them.

STRENGTHS	WEAKNESSES

COMMENTS

2. IMPACT (0-15) ________

3. SOUNDNESS (0 to 30 points)

Technical soundness of the research and development plan and adequacy of specification of procedures.

Look for information that shows that:

(i) The research design will yield answers to the research questions the project addresses.

(ii) The sample is selected to represent the target group(s) that the project's product will be used for.

(iii) The data are analyzed sufficiently to provide answers to the research questions.

STRENGTHS	WEAKNESSES

COMMENTS

3. SOUNDNESS (0-30) ____

4. PLAN OF OPERATION (0 to 10 points)

Look for information that shows:

(i) High quality in the design of the project;

(ii) An effective plan of management that insures proper and efficient administration of the project;

(iii) A clear description of how the objectives of the project relate to the purpose of the program;

(iv) The way the applicant plans to use its resources and personnel to achieve each objective; and

(v) A clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented such as –

(A) Members of racial or ethnic minority groups;

(B) Women;

(C) Handicapped persons; and

(D) The elderly.

STRENGTHS	WEAKNESSES

COMMENTS

4. PLAN OF OPERATION (0-10) ____

5. EVALUATION PLAN (0 to 5 points)

Look for information that shows methods of evaluation that are appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.

STRENGTHS	WEAKNESSES

COMMENTS

5. EVALUATION PLAN (0-5) ____

6. QUALITY OF KEY PERSONNEL (0 to 10 points)

Look for information that shows:

(i) The qualifications of the project director (if one is to be used);

(ii) The qualifications of each of the other key personnel to be used in the project;

(iii) The time that each person referred to in paragraphs (i) and (ii) plans to commit to the project; and

(iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented such as –

(A) Members of racial or ethnic minority groups;

(B) Women;

(C) Handicapped persons; and

(D) The elderly.

To determine the qualifications of a person, consider evidence of past experience and training in fields related to the objectives of the project as well as other information that the applicant provides.

STRENGTHS	WEAKNESSES

COMMENTS

6. QUALITY OF KEY PERSONNEL (0-10)___

7. ADEQUACY OF RESOURCES (0 to 5 points)

Look for information that shows that:

(i) The facilities that the applicant plans to use are adequate;

(ii) The equipment and supplies that the applicant plans to use are adequate;

(iii) Access is available to subject samples; and

(iv) There is a commitment of cooperating schools or agencies to the project.

STRENGTHS	WEAKNESSES

COMMENTS

7. ADEQUACY OF RESOURCES (0-5) ____

8. BUDGET AND COST EFFECTIVENESS (0 to 10 points)

Look for information that shows that:

(i) The budget for the project is adequate to support the project activities; and

(ii) Costs are reasonable in relation to the objectives of the project.

STRENGTHS	WEAKNESSES

COMMENTS

8. BUDGET AND COST EFFECTIVENESS(0-10)

APPENDIX 5

An Example of Converting Judgments to Points on the Criterion of "Soundness"

3. SOUNDNESS Maximum 30 points

Technical soundness of the research and development plan and adequacy of specification of procedures.

The important point here is to consider both the appropriateness of procedures and the extent to which they are specified. Are the problems, objectives, procedures, and expected products, and the relationships among all clearly and logically stated? Does the statement of the procedures to be followed include all applicable design components? Are the criterion measures appropriate for the questions asked and analyses used? Are the proposed timelines realistic? Factors generally meriting consideration include:

(1) Population description

(2) Sampling procedures

(3) Specification of variables

(4) Instrumentation

(5) Data collection, procedures, and related training

(6) Experimental treatments

(7) Data analysis

(8) Timelines

SOUNDNESS

0	Proposed procedures are not appropriate to the questions posed.
0	What is to be done is well specified but the document provides virtually no information on how the project will be carried out.
5-10	Procedures are generally sound, but sampling procedures and data reduction procedures are not appropriate.
5-10	The general procedural plan seems appropriate but specific details are lacking.
15	Technical aspects are generally appropriate and well specified, but better techniques are available for training of data collectors and for statistical analysis.
20-25	Procedures are appropriate and adequately specified for the most part, but more detailed time-lines would have clarified the design.
20-25	All procedural elements are appropriate and adequately specified but it is unclear why these particular techniques were selected.
30	Every procedural element is appropriate to the question, completely detailed, and carefully considered. Possible alternative approaches have been considered but the selected procedural plan has been documented as the most appropriate.
30	The design is so well specified that a stranger should be able to complete the project to the satisfaction of the investigator.

APPENDIX 6

Sample Training Materials for Proposal Reviewers
From the 1981 Utah Title IV - C Proposal Review

Things To Keep in Mind in Reviewing Title IV - C Proposals

1. All proposals should meet minimum criteria for a Title IV - C adoptable or continuing developmental proposal (e.g, for adoptables, there should be an identifiable validated project which is being adopted).

2. Title IV - C project should supplement, not supplant, local district expenditures for personnel, etc.

3. Proposals should contain all the important elements outlined in the RFP. If any are missing, final funding authorization should not be given until and unless the district satisfactorly addresses the missing elements in a proposal addendum.

4. Where proposals are inadequate in technical areas (e.g., evaluation design, statement of objectives, timelines, statement of work) but the proposed project is judged as worthy of funding, the reviewer should stipulate districts should obtain technical assistance. This might relate to the categories of "Approve" or "Conditionally Approve" as follows:

APPROVE:	(A) - need no technical assistance
	(B) - suggest specific technical assistance to district, but leave up to district to request funds
CONDITIONALLY APPROVE:	require specific technical assistance; build budget for EPA into approved proposal budget.

Title IV - C Proposal Review Process Summary: 1981

1. All proposals submitted to USOE will be given identification numbers and references to specific LEAs will be removed to avoid possible bias in the review process. In preparation for the review, proposals will be duplicated in four copies and bound for use by reviewers (USOE).

2. All reviewers will be given explicit training on (a) the purpose of Title IV, (b) criteria to be used in judging the proposals, and (c) the review rating sheets and procedures. General instructions for using the rating sheets will be used to help standardize ratings of reviewers and eliminate scaling problems (USOE/WIRE).

3. Proposals will be assigned to review teams so that no LEA staff member will be asked to judge a submission from his/her own district (WIRE).

4. All proposals in any one category (e.g., adoptables in districts in Category C) will be assigned so as to be rated by the same team; thus, districts will only have to compete against other districts of approximately the same size (WIRE).

5. Each proposal will be read and rated independently by each member of the four-person team rating proposals in that category. Each reviewer will fill out the rating sheet (shown hereafter) with both numerical rating and written comments about the proposal's strengths and weaknesses on each criterion. The written comments must be interpretable and readable, since they will be provided to the USOE staff (Reviewers).

6. After all proposals have been read by a team, the team members will discuss each proposal at length, comparing their ratings and individual lists of strengths and weaknesses. An attempt will be made to reach a consensus on ratings for each category. In the few instances when team members can not reach complete agreement on a rating, the individual reviewer ratings will be averaged to produce the team's rating on that criterion (Teams).

7. After team ratings of each proposal are completed, the team chairperson will assign for each proposal a team member to summarize the team members' comments and ratings on one rating form (same color as individual rating forms). These should be shared with other team members to assure that it accurately reflects all team members sentiments. It is particularly important that team suggestions concerning required technical assistance or proposal modifications be clearly spelled out in this document (Reviewers).

8. Team chairpersons will fill out a summary rating form (blue or green) which contains: (a) the team's rating on each criterion and for the project as a whole; (b) the team's recommendation concerning whether to approve, conditionally approve, or disapprove the proposed project; and (c) comments which summarized the team's rationale for their ratings and recommendations. This summary will depend heavily on the multi-page summary described in #7 above.

9. When each team has completed their ratings, all summary rating forms and individual reviewer ratings and more detailed lists of strengths and weaknesses will be given to USOE officials to aid in their deliberations. The four-team chairmen will debrief with USOE officials to (a) respond to any questions about any of the ratings or recommendations, and (b) check and standardize scaling across teams so that ratings from all teams would be on a comparable scale for comparative purposes.

APPENDIX 7

Samples of "Advance Organizers" Which Might be Sent to Proposal Reviewers

WASATCH INSTITUTE
FOR RESEARCH AND EVALUATION

MEMORANDUM

TO: TITLE IV PROPOSAL REVIEW PANEL MEMBERS

FROM: Blaine R. Worthen

RE: Materials to Review Prior to our Meeting in Salt Lake

By now each of you should have received a call from Barbara, our project coordinator, to confirm arrangements for our upcoming review of Utah's Title IV - C proposals for 1981-82. I trust she was able to answer any questions you may have had concerning details of scheduling, reimbursements, and the like.

I am enclosing a copy of the Request for Proposals (RFP) which was sent to each district in early February. Since this RFP outlines precisely what should be in every Title IV - C proposal submitted to the State, I think it is important that you familiarize yourself with the guidelines and criteria contained in this document. Please read it before you arrive at our first team meeting on April 10. The short training session we will have at 8:00 a.m. that morning will assume you have already read the RFP, and the training will focus on more detail concerning criteria and ratings which will not be very meaningful unless you have already read the RFP.

We will start our training session promptly at 8:00 a.m. on Friday morning in Room___ of the Utah State Office of Education at 250 East 5th So. in Salt Lake City. For those of you who live in outlying areas, it would seem wise to travel to Salt Lake on Thursday evening so as to be "bright-eyed" for Friday's session.

For those of you who participated in last year's review, there have been some alterations in the RFP and in the rating scales and procedures, so please plan to be in attendance for the entire training session.

I look forward to seeing you there!

P.S. Regarding Room # above, the proposal review will use several rooms, consequently the best procedure would be to go to Bill Cowan's office and his secretary will direct you from there.

175 QUARTER CIRCLE DR., LOGAN RFD, UTAH 84321: TEL. (801) 752-1755

Review of 1981-82 proposals for Title IV - C funding
USOE - April 10, 8:00 - 5:00, April 11, until completed
Rooms: East and West Board - B and C Conference Rooms

Teams -

#1	Glenn Latham	Adoptables
	Lynn Haslam	
	Jerry Peterson	
	Bruce Owens	
#2	Russell Osguthorpe	Adoptables
	Maria Detrio	
	Sharon Beck	
	JoAnn Seghini	
#3	Adrian Van Mondfrans	
	Marian Karpisek	Developmentals (Continuing Developmentals)
	Morgan Hawks	
	Colleen Colton	
#4	Blaine Worthen	Adoptables
	Betty Cowley	
	Gary Carlston	
	John Bennion	

dinner meeting - Team chairpersons
Bill Cowan
at: Hilton Hotel
Towne Hall Resturant
6:00

Meet Bill Cowan at USOE at 5:30 to review materials to see if all in order

Per diem - $37.50
per mi. .23
Lunch allowance -

honorarium - $135
41 proposals reviewed

APPENDIX 8

Sample Copies of Completed Team Rating Forms

BEST COPY AVAILABLE

SUMMARY

Application for Funds under Title IV - Part C for FY 81

ADOPTABLE PROJECTS

District Title: deleted to preserve anonymity	Application #: deleted to preserve anonymity

RATINGS	I	STATEMENT OF NEED	(0 - 35)	28
	II	QUALITY OF OBJECTIVES	(0 - 10)	8
	III	STATEMENT OF WORK	(0 - 25)	22
	IV	QUALIFICATIONS OF PERSONNEL	(0 - 20)	17
	V	COST EFFECTIVENESS	(0 - 10)	8
		TOTAL RATING	(0 - 100)	83

RECOMMENDED ACTION (place an "X" in appropriate space)

X APPROVAL

___ DISAPPROVAL

___ CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

This is a good project and well worthy of approval. The need, objectives, personnel qualifications, work statement and budget are all of generally high quality.

There are, however, several suggestions which the team would strongly urge the district to consider and, hopefully, accept. They include:

1. Increase the criterion level for objective 2 to a minimum of 10% and possibly higher, depending on items below;

2. Have criterion levels on objectives reviewed and approved by district central administrators to make certain that they agree that they are appropriate cut-off points to demonstrate success and failure, and that the rationale for setting those levels is acceptable;

3. Strengthen the evaluation design in specific areas noted in section III of the team's critique "synthesis";

4. Remove "books" from the "capital expenditures" category and transfer it to an appropriate budget category. (I.e. – OK to buy books, but not OK to label them capital expenditures).

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Signature of Chairperson

4-11-81
Date

SUMMARY

Application for Funds under Title IV - Part C
for FY 81

ADOPTABLE PROJECTS

District Title deleted to preserve anonymity	Application # deleted to preserve anonymity

RATINGS			
I	STATEMENT OF NEED	(0 - 35)	33
II	QUALITY OF OBJECTIVES	(0 - 10)	10
III	STATEMENT OF WORK	(0 - 25)	23
IV	QUALIFICATIONS OF PERSONNEL	(0 - 20)	20
V	COST EFFECTIVENESS	(0 - 10)	8
	TOTAL RATING	(0 - 100)	94

RECOMMENDED ACTION (place an "X" in appropriate space)

____ APPROVAL

____ DISAPPROVAL

X CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

This is an excellent proposal. The need is well established and of high priority to the district. District commitment is strongly evident. Contact with the developer has been in evidence. The objectives are clearly written, measurable and focused on outcomes. The selection process used in selecting CADPP is appropriate. Implementation plans are detailed and sound, as is also the plan for evaluating project effectiveness. Personnel are well qualified. The overall budget is reasonable.

The only reasons for marking this "conditional approve" rather than "approve" are as follows:

1. The $4372 listed to pay percentages of salaries and fringe benefits of three district employees appears to be in violation of Title IV-C guidelines against supplanting district salaries. This amount should

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Signature of Chairperson

4-11-81
Date

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be eliminated from the budget, _unless_ it is intended to cover _overload_ (e.g., periods of work _not_ included in current contracts), in which case it should be paid as honoraria, with no fringes. This budget adjustment or justification must be made.

2. There is no budget provided for the evaluation consultant. $500 should be added to the budget, rather than using EPA money for the evaluator.

The overall budget (after adjustment) to be approved should be $13,396, unless the proposer can show that the time spent by district personnel referred to earlier is overload and should be paid as honoraria.

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SUMMARY

Application for Funds under Title IV - Part C
for FY 81

ADOPTABLE PROJECTS

District Title deleted to preserve anonymity	Application # deleted to preserve anonymity

RATINGS	I	STATEMENT OF NEED	(0 - 35)	34
	II	QUALITY OF OBJECTIVES	(0 - 10)	6
	III	STATEMENT OF WORK	(0 - 25)	18
	IV	QUALIFICATIONS OF PERSONNEL	(0 - 20)	14
	V	COST EFFECTIVENESS	(0 - 10)	9
		TOTAL RATING	(0 - 100)	81

RECOMMENDED ACTION (place an "X" in appropriate space)

____ APPROVAL

____ DISAPPROVAL

X CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

The proposal review committee feels that this project should be funded but that some of the problems are serious enough that certain improvements should be made in the conceptualization of the proposal before funding. The suggested improvements are listed below:

1) The basic objectives of the program should be rewritten to include: a) training of staff and volunteers and b) outcomes expected from the program. It is clear that in a program like HOSTS a significant factor contributing to its success will the skill level achieved by teachers in implementing the program. An outcome objective related to this goal should be stated.

2) The evaluation design is overly complex and fuzzy. The district has obviously adopted HOSTS evaluation procedure intact. Careful consideration should be given to modifying the proposed evaluation design to reflect the real needs of the district rather than the original validation needs of HOSTS developers.

3) The reading specialist as a first year teacher presently lacks proper credentials and is not as experienced as she should be to manage the volunteers and students.

4) An evaluation specialist should be included with special expertise in evaluation (over)

deleted to preserve anonymity
Signature of Chairperson

4/11/81
Date

While is a logical professional to include in this project, it is unclear whether she possesses any special skills in evaluation. It is recommended that be retained on the project as a reading consultant and that an evaluation specialist be added to the personnel section.

5) The $3000.00 adoption fee should be investigated. That seems like an excessive amount especially when coupled with the already high cost of the materials ($3500.00).

6) There may be a need for secretarial assistance to keep records and perform other clerical tasks involved in the project.

SUMMARY

Application for Funds under Title IV - Part C
for FY 81

ADOPTABLE PROJECTS

District Title deleted to preserve anonymity	Application # deleted to preserve anonymity

RATINGS	I STATEMENT OF NEED	(0 - 35)	27	RECOMMENDED ACTION (place an "X" in appropriate space)
	II QUALITY OF OBJECTIVES	(0 - 10)	8	
	III STATEMENT OF WORK	(0 - 25)	20	
	IV QUALIFICATIONS OF PERSONNEL	(0 - 20)	15	___ APPROVAL
	V COST EFFECTIVENESS	(0 - 10)	9	___ DISAPPROVAL
	TOTAL RATING	(0 - 100)	79	X CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

This project is recommended for approval IF the following conditions are met:

1. Certification that the district will continue the project if it is successful should be obtained from the superintendent;

2. objectives should be reviewed, refined to focus more specifically on outcomes, and perhaps scaled down in scope to the point where they are clearly feasible within the available resources; and

3. the evaluation plan (and measures) needs to be extended to collect data that bear directly on the project objectives. Qualifications of the proposed evaluator must be established and/or outside technical assistance from well-qualified evaluation personnel should be obtained to perform this task. The measurement issues are difficult and seasoned evaluators/psychometricians would be of help. It is suggested that $500 be added to the budget to obtain such assistance.

Otherwise, the project plan is very good. Need appears

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4-11-81 — Date

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to be sufficiently established; indeed, the proposal appears to grow out of a broadly based expression of a strong district need. The objectives are ~~[illegible]~~ clear. Contact with the parent (DAVIS) project is very adequate. Implementation plans and timelines are good. The budget request is reasonable and the justification appears sound. The project is, on balance, quite well-conceived.

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SUMMARY

Application for Funds under Title IV - Part C
for FY 81

ADOPTABLE PROJECTS

District
Title deleted to preserve anonymity.

Application #
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RATINGS

I	STATEMENT OF NEED	(0 - 35)	5
II	QUALITY OF OBJECTIVES	(0 - 10)	2
III	STATEMENT OF WORK	(0 - 25)	3
IV	QUALIFICATIONS OF PERSONNEL	(0 - 20)	0
V	COST EFFECTIVENESS	(0 - 10)	2
	TOTAL RATING	(0 - 100)	12

RECOMMENDED ACTION (place an "X" in appropriate space)

___ APPROVAL

X DISAPPROVAL

___ CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

This proposal suffers from the following serious weaknesses:

1. There is no evidence that the proposed project meets a priority need in the district, that U-SAIL is the best alternative to meet the need they claim may exist, that key district personnel are committed to the project, or that the project would or could be continued on district funds once the state funds were withdrawn.

2. The concept of "seed money" and increasing financial participation by the district (across years of the project) does not appear to be understood by the proposer. Nor do they seem to be aware that adoptable projects are slated for only one year of funding, except for extreme circumstances. Their request for three-year consideration, without a compelling justification, is inappropriate.

3. There is little impact on students proposed or measured. The objectives are vague, replete with jargon, and pre-occupied with processes.

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4. The statement of work says little and promises nearly nothing.

5. Budget information is incomplete; the required budget narrative is missing.

6. Timelines are missing.

7. The proposal ignores the "guidelines for proposals" sent out by the United States Office of Education, deviating in almost all particulars from that model.

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SUMMARY

Application for Funds under Title IV - Part C
for FY 81

ADOPTABLE PROJECTS

District
Title deleted to preserve anonymity

Application #
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RATINGS

I	STATEMENT OF NEED	(0 - 35)	7
II	QUALITY OF OBJECTIVES	(0 - 10)	4
III	STATEMENT OF WORK	(0 - 25)	6
IV	QUALIFICATIONS OF PERSONNEL	(0 - 20)	0
V	COST EFFECTIVENESS	(0 - 10)	1
	TOTAL RATING	(0 - 100)	18

RECOMMENDED ACTION (place an "X" in appropriate space)

___ APPROVAL
X DISAPPROVAL
___ CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

This proposed project has much merit in terms of the proposed population it intends to serve. However, the proposal almost completely disregards the guidelines set for in the RFP. Several important areas were omitted, eg. qualifications of personnel, rationale for selection, timelines, project deliverables, and sufficent budget narrative. The objectives are vague, and there is no evidence that parents have been involved or that there is strong district support for the project. There is no evaluation plan, nor expected impact on the students.

It might be noted that the reviewers regret

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rejecting the proposal; it was felt that they would favor funding a proposal to help multiple handicapped children. They urged the district to re-propose another year following the guidelines set out in the RFP.

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SUMMARY

Application for Funds under Title IV - Part C for FY 81

ADOPTABLE PROJECTS

District Title deleted to preserve anonymity

Application # deleted to preserve anonymity

RATINGS	I	STATEMENT OF NEED	(0 - 35)	20
	II	QUALITY OF OBJECTIVES	(0 - 10)	2
	III	STATEMENT OF WORK	(0 - 25)	10
	IV	QUALIFICATIONS OF PERSONNEL	(0 - 20)	7
	V	COST EFFECTIVENESS	(0 - 10)	4
		TOTAL RATING	(0 - 100)	43

RECOMMENDED ACTION (place an "X" in appropriate space)

___ APPROVAL

X DISAPPROVAL

___ CONDITIONAL APPROVAL (conditions must be explained below)

RATIONALE FOR RECOMMENDED ACTION (recommendations must relate specifically to above ratings. Consideration should not be given to any other factors)

This proposal is seriously deficient in meeting the purposes and requirements of Title IV-C. It is recommended that this project not be funded, even with major changes. The reasons for this recommendation are listed below:

1) This proposal is a second year request as an adoptable. There is no rationale for modifying the guidelines of IV-C and refunding this project. The district themselves should continue the funding support needed during the coming year.

2) There should be more data described to justify the need.

3) The objectives are unrealistically broad. There is no validated reason to expect all of the psychological and social benefits proposers hope will occur. The remaining objectives are often not related to outcomes ("Integrate the U-SAIL Reading Program with district plan course concepts.")

4) The statement of work is too brief. Title IV-C projects should be conducted on a limited basis--not with ALL sixth graders in the district. It would be much better to do it with half of the sixth grade and then use the other sixth graders as a comparison group.

5) The evaluation is unclear. There should be a description given of comparison groups.

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4/11/81
Date

APPENDIX 9

Samples of Correspondence With Review Panel Members Following the Proposal Review

May 8, 1981

Dr. Glenn Latham
Exceptional Child Center
UMC 68
Logan, Utah 84322

Dear Glenn:

This is an overdue note of appreciation to you for your participation as a chairman in the review of Title IV-C proposals on April 10 and 11. Although I know those were two grueling work days, it seems the results were worth the effort. Bill Cowan and other State Office of Education officials have indicated several times that this is the best review of Title IV proposals they have had. I attribute the success of the review primarily to the contribution made by you and your colleagues.

Perhaps you will be interested in the enclosed list, which summarizes the points and recommendations for the proposals we evaluated. I think it impressive that the merged point distribution and recommendations of the four teams flowed together so smoothly. With two minor exceptions (e.g., the highest rated program was recommended for conditional approval only because of one inappropriate budget item that has to be changed), the ratings and recommendations of the teams fit together beautifully, as you can see. These results, and the excellent syntheses your team prepared will be extremely useful to the U.S.O.E. as they make their final decisions about which Title IV-C proposals to fund.

Again, many thanks for your excellent help. You and your colleagues were a tremendous group of reviewers and a real joy to work with.

Sincerely,

Blaine R. Worthen
Director

BRW:ghm

Enclosure

1981 Title IV Ratings/Ranking

Number	District	Project	Rating	**Recommended Action
125-2			94	C
101-2			93	A
102-2			89	A
*D-302-2			87	A
*D-208-2			87	A
108-2			86	A
105-2			85	A
*D-206-2			85	A
*D-207-2			85	A
*D-203-2			85	A
128-2			83	A
*D-209-2			81	C
129-2			81	C
117-2			79	C
104-2			79	C
110-2			78	C
127-2			78	C
111-2			76	C
300-2			76	C
113-2			73	C
*D-205-2			73	C
*D-202-2			71	C
*D-204-2			70	C
*D-200-2			70	C
*D-201-2			69	D
107-2			60	C
126-2			60	C
111-2			59	C
116-2			59	C
121-2			58	D
109-2			56	D
122-2			46	D
115-2			46	D
100-2			43	D
112-2			32	D
124-2			20	D
303-2			19	D
103-2			19	D
301-2			18	D
120-2			12	D
123-2			NR	D
119-2			NR	D
106-2			NR	D

District and project identity has been deleted from this Table to preserve anonymity

*D = Development Grant

**Key to Recommended Action:
A = Approve
C = Conditional approval
D = Disapprove

April 28, 1980

Albert Arellano, Principal
East Elementary School
150 South 7th Street
Tooele, Utah 84074

Dear Al:

This letter is to formally express our appreciation for the superb job of Title IV - Part C proposal reviewing to which you contributed on April 18th and 19th. From all the feedback we have received, the Utah State Office of Education staff were very pleased with the results - in large part because of the conscientiousness with which you and your colleagues worked.

As you may be aware, there is a possibility that the Title IV program will sustain significant budget cuts for FY 81. If such budget cuts do occur, the detailed and objective way in which the proposals were reviewed and the resulting judgements documented will make the difficult task of deciding which projects to fund as fair, equitable, and defensible as possible. We believe that the value of your contribution to this year's proposal review process will be even more apparent as the negotiations and funding process procedes.

As a final note, we are very interested in obtaining your feedback about how the proposal review process could be improved in the future. Your perception as to the strengths and weaknesses of this year's process as well as suggestions for improvement would be most welcome.

Thanks again for all of your help.

Sincerely,

Karl R. White
Project Director

Blaine R. Worthen
Associate Project Director

bw